

 EQB Documentation Practice	Document Owner:		Administrative Office
	Document Number: OP-0000-V3		Page: 1 de 12
			Effective Date: August 31, 2016
APPROVALS			
Area Approver:	Edgar Arias	Signature: <i>Edgar Arias</i>	Date: 8/31/16
Administrative Approver:	Weldin Ortiz	Signature: <i>Weldin Ortiz</i>	Date: 8/31/16
Quality Approver:	Raquel Román	Signature: <i>Raquel Román</i>	Date: 8/31/16

1. Objective

This document is adopted with the purpose of establishing the procedures to be followed during the creation, approval, maintenance and update of official documents in the Environmental Quality Board.

2. Legal Authority

- Law 416 of September 22, 2004, "Environmental Public Policy Act" as amended.

3. Applicability

All departments must comply with the procedures and requirements described in this document. This procedure is applicable to the following Environmental Quality Board Official Documentation:

- Standard Operating Procedures
- Training Manuals
- User Manuals

4. Organizational Roles and Responsibilities

- Department or Division (Document Owner) – Responsible for the creation, review, maintenance and approval of the document. Document Owner will create the document, route it for review, incorporate comments and route it for second review/approval. Document Owner is the Subject Matter Expert in the area covered and is responsible for updating the contents of the document accordingly.
- Department or Division Manager or Staff in Charge (Area Approver) – Responsible for reviewing the document for completeness and compliance with Department or Division regulations. Area Approver is responsible to ensure compliance in the Department or Division with this and any other applicable procedures.



- General Administrator (Administrative Approver) – Responsible for reviewing the document for completeness and compliance with applicable regulations. Administrative Approver is responsible of the record keeping of all hard copy and soft copy originals of all documentation and the release of documentation for updates.
- Internal Auditor (Quality Approver) – Responsible for reviewing the document for completeness and compliance with federal and state laws and regulations.
- External Resources Office Manager – Responsible for the compliance of the document and the periodical revision of its execution and up to date keeping.
- Information Systems Office – Responsible for creating and providing access to the documents directories. Also responsible to keep backups of all data in Environmental Quality Board's storage servers.

The Chair of the Environmental Quality Board delegates its authority to sign Standard Operating Procedures to the Administrator.


5. Definitions and Abbreviations

5.1. Definitions

Term	Definition
Living Documentation	Documents that are required to be maintained periodically

5.2. Abbreviations

Abbreviation	Term
EPA	Environmental Protection Agency
EQB	Environmental Quality Board
SOP	Standard Operating Procedure
PT	Proficiency Test
TM	Training Manual
UM	User Manual

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6. Procedure Description

6.1. General Procedure


In the EQB, three (3) types of documents are generated that contain the necessary information for employees to execute their daily functions. The three (3) documents are Standard Operating Procedures, User Manuals and Training Manuals.

- a. Standard Operating Procedure (SOP) – This document is used to describe in detail, step by step, the execution of every business process in the EQB. This document contains all the information required to obtain a consistent and compliant operation as the final product.
- b. User Manual (UM) – As a complement to the SOP, the User Manual contains the step by step procedure that an employee needs to execute in a given tool in order to obtain the results desired in the SOP. The User Manual differs from the SOP by not disclosing to the reader information about the applicable laws and regulations, which in general terms are included in the SOP. The User Manual is intended to illustrate how the employee will interact with the tool correctly.
- c. Training Manual (TM) – This document is used to train the employee in any given tool. The purpose of this document is to introduce and teach the employee on how to use the tool. The document contains general step by step information and test scenarios in order for the employee to learn how to use the tool before executing business operations. The Training Manual differs from the User Manual by not including specific information about the business processes executed using the tool.

All documentation generated following this procedure is living documentation, which means that can be modified as required by the document owner or any other authorized employee.

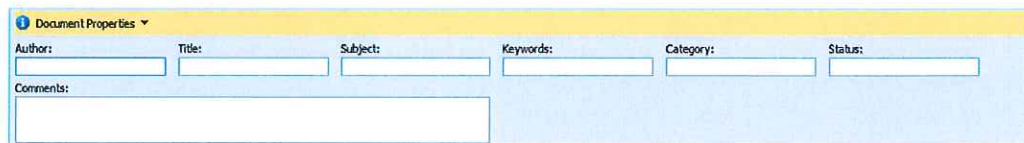
The general lifecycle of any given document is as follows:

- 6.1.1. Request a new Document Number to the Administrative Office.
- 6.1.2. Draft the document using the appropriate template and submit the document for review.
- 6.1.3. Gather comments from the reviewing parties and incorporate the comments.
- 6.1.4. Submit an updated version of the document with comments incorporated for approval.
- 6.1.5. Upon document approval, send the original approved copy and the electronic copy to the Administrative Office for archive.
- 6.1.6. For maintenance, request the electronic copy of the approved version to the Administrative Office and execute the creation and approval process.

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6.2. Document Creation


- 6.2.1. Document Owner requests a new Document Number to the Administrative Office personnel using the approved EQB Document Request Form (Section 9).
- 6.2.2. Administrative Office personnel assigns the next available Document Number and fills out the Document Number table with the information provided by the Document Owner.
- 6.2.3. Administrative Office personnel creates a soft copy of the document in MS Word format using the approved template. Administrative Office personnel includes the document information as part of the MS Word document properties:
 - a. Author (Document Owner), Title, Subject (Area), Category (Document Number), No. Version; i.e. OP-0001) Status, Comments (Version Number; i.e. V1)



- 6.2.4. Administrative Office personnel creates the appropriate Main Folder and Sub Folder, as per Section 8.2 Document Storage, and saves the soft copy of the document using the complete Document Number as the document name.
- 6.2.5. Administrative Office personnel sends an email, with the new document file attached, to the Document Owner.
- 6.2.6. Document Owner proceeds to create the document using the template received.
- 6.2.7. After creation, then proceeds to the Document Review and Approval process.

6.3. Document Review and Approval


- 6.3.1. Once the document is drafted, the Document Owner sends the document for first review to Document Approvers.
- 6.3.2. Document Approvers have a period of five (5) business days to review the document and submit comments. No comments from Document Approvers within the (5) business days is defined as complete agreement with the contents of the document. If comments are not submitted within five (5) business days, the Document Owner proceeds with the approval.
- 6.3.3. After comments are submitted, the Document Owner has a period of five (5) days to incorporate comments.

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- 6.3.4. After comments are incorporated, the Document Owner sends the electronic copy of the document to the Administrative Office personnel for printing and binder preparation.
- 6.3.5. Administrative Office personnel changes the Status of the document in the document properties to *For Approval*, prints the document and prepares the document binder.
- 6.3.6. Administrative Office personnel verifies the document and completes the Documentation Practice Compliance Review section of the EQB Document Request Form (Section 9). If the document does not comply with the requirements provided, the Administrative Office personnel sends the document back to the Document Owner for correction. After corrections are completed, repeat steps 6.3.4 through 6.3.6.
- 6.3.7. Administrative Office personnel delivers the document binder to the Document Owner to be routed for approval.
- 6.3.8. Document Owner routes the document to Document Approvers for approval.
- 6.3.9. Each Document Approver signs the document in the space provided in the first page, by role.
- 6.3.10. The Effective Date of the document is the date of the last Document Approver.
- 6.3.11. After document approval, the Document Owner delivers the binder to the Administrative Office personnel for storage.
- 6.3.12. Administrative Office personnel changes the Status of the document in the document properties to *Approved*.

6.4. Document Updates

- 6.4.1. In case there is a deviation from the existing procedure, it shall be included only if it is certified and approved by the Area Manager as a valid operation. The deviation cannot be out of compliance and cannot be a deviation of the operational procedure due to different administration methodologies.
- 6.4.2. Document Owner requests a Document Revision Number to the Administrative Office personnel using the approved EQB Document Request Form (Section 9).
- 6.4.3. Administrative Office personnel assigns the next Document Revision Number and updates the Document Number table.
- 6.4.4. Administrative Office personnel updates the Document Revision Number in the properties of the soft copy file in .doc format stored.
- 6.4.5. Administrative Office personnel sends the current official soft copy version of the document to the Document Owner for modifications.

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6.4.6. Document Owner performs the modifications of the document and updates the document revision table with details of the sections that were modified and its justifications. In this table, the Document Owner includes the section number and a summary of the modifications performed with their corresponding justification.

Revision Number	Revision Date	Section	Modification	Justification
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6.4.7. After modifications are completed, then proceed to the Document Review and Approval process.

7. Documents Physical Properties

7.1. Document Contents

7.1.1. The following are the required sections on the Standard Operating Procedures:

- a. Objective
 - Objective explains the goal that the SOP is intended to achieve.
- b. Legal Authority
 - Legal Authority defines what the document is based on. This section includes any law, guideline, executive order, administrative order, or any other formal document in which the procedures described are based on or comply with. If no base document exists then fill Reserved in the section content.
- c. Applicability
 - Applicability defines which Offices and Sections are impacted by the procedure. Essentially describes which Offices and Sections have to comply with the procedure.
- d. Roles and Responsibilities
 - Roles and Responsibilities details the responsibilities of the parties involved in the execution of the processes described in the procedure.
- e. Definitions and Abbreviations
- f. Procedure Description
 - Detail Procedure
- g. Forms and Reports
- h. Tabular Summary of Procedure or Process Flowchart (this section is optional)

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i. Document Revision Table

Step	Description	Official in Charge	Outcome	Time Required
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j. Table of Contents

7.2. Document Headers


7.2.1. Approval Page Header

a. Document Approval Header:

 Document Title	Document Owner:	Owner Area	
	Document Number: Document Number	Page: Page Numbers Effective Date: Date	
	APPROVAL		
Area Approver:	Name:	Signature:	Date:
Administrative Approver:	Name:	Signature:	Date:
Quality Approver:	Name:	Signature:	Date:


7.2.2. Content Page Header

a. Document Content Page Header:

 Document Title	Document Number: Document Number	Page: Page Numbers
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7.2.3. Document Margins

- a. Top – 1.00"
- b. Bottom – 1.00"
- c. Left – 1.00"
- d. Right – 1.00"
- e. Gutter – 0"
- f. Gutter Position – Left

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7.2.4. Document Fonts and Styles

- a. Font Arial, Size 11
- b. Styles:
 - Section (1.) - 1 EQB SOP Heading
 - Sub-Section (1.1.) - 2 EQB SOP Heading
 - Step (1.1.1.) - 3 EQB SOP Steps
 - Steps Details (a.) - EQB SOP Steps Desc

8. Document Handling and Storage

8.1. Document Numbering System

8.1.1. Documents are numbered using the following format:

- a. XY-0000-V0 [two letters – four numbers – version number]

8.1.2. The two letters are one of the following three combinations, depending on the type of document to be identified:

- a. OP – Operating Procedure
- b. TM – Training Manual
- c. UM – User Manual

8.1.3. The four numbers are a sequential set of numbers. The sequential numbers are assigned by the Administrative Office personnel. Sequential numbers are kept no matter the type of document generated. For example:

- a. OP-0001-V1, TM-0002-V4, UM-0003-V1, etc.


8.1.4. The version number is assigned and controlled by the Administrative Office personnel. The version number is a whole number starting with 1 for a new document.

8.1.5. Numbers cannot be reused for new documents. Once a document number is assigned and the document is obsolete or voided, the number should be marked as cancelled or voided.

8.1.6. Document Numbers are kept in hard copy and soft copy table. The hard copy is stored in the document filing cabinet. The soft copy is stored in the EQB intranet and only Administrative Office personnel and OSI System Administrators have access to the file.

- a. Table Header:

Document Number	Title	Area	Version	Status
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8.2. Document Storage

8.2.1. Documents' soft copies are kept in a file within EQB's intranet. Only Administrative Office personnel and OSI System Administrators have access to the directory. Each document has a folder with the current version and a folder to store previous versions.

a. Folder naming convection

- Main Folder – Document Number with no version (i.e. OP-0001)
 - Inside the main folder there is a soft copy of the current version in MS Word format.
- Sub Folder – Superseded Versions
 - Inside the sub folder there are copies of the previous versions in MS Word format.

8.2.2. Documents' hard copies are kept in a filing cabinet in the Administrative Office Area.

a. Documents are filled by sequential number (four numbers in the middle of the Document Number).


8.2.3. Under no circumstances hard copies documents are allowed to be outside the Administrative Office Area once approved and filed.

8.3. Document Dissemination

8.3.1. Administrative Office personnel disseminates the Document final version to the impacted Departments/Divisions/Areas Management via e-mail.


8.3.2. For users' access, Documents final versions in PDF format are posted in the EQB's SharePoint (Intranet) by the OSI System Administrator. Only current versions are available through the SharePoint.


Refer to Training Administrative Order for details regarding training requirements regarding new and updated SOPs.

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9. Forms and Reports

9.1. Document Request Form 101

			
EQB Document Request Form			
Document Type <input type="checkbox"/> Operating Procedure <input type="checkbox"/> User Manual <input type="checkbox"/> Training Manual		Action <input type="checkbox"/> New Document <input type="checkbox"/> Revise Document <input type="checkbox"/> Cancel Document	
Document Request Date: _____ (MM/DD/YYYY)		Document Number : _____ (Revised Document Only)	
Document Owner: _____		Office: _____	
Area Manager: _____		Section (Area): _____	
Document Title: _____			
Comments: _____			
↓ For Use of Managerial Affairs Office only ↓			
Document Furnished By: _____		Document Furnished Date: _____ (MM/DD/YYYY)	
Documentation Practice Compliance Review			
Headers, Document Fonts and Styles Required Sections* ♦ Objective ♦ Legal Authority ♦ Applicability ♦ Roles and Responsibilities	Verified: Yes / No ♦ Definitions and Abbreviations ♦ Procedure Description ♦ Forms and Reports ♦ Tabular Summary of Procedure	Document Margins Verified: Yes / No ♦ Document Revision Table ♦ Table of Contents	Verified: Yes / No
Note: * Only applicable for Operating Procedures.			
Document Number Assigned: _____			
Document Reviewed By: _____		Document Review Date: _____ (MM/DD/YYYY)	

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10. Document Revision Table

Revision Number	Revision Date	Section	Modification	Justification
1	1/27/2010	All	New	New
2	3/13/2014	All	Update responsible parties	Changes in the EQB structure require modifications to the responsible units
3	08/01/2016	All	General update	General review


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