TCEQ's QA Program: Document Control

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TCEQ System QA Goals

- Support the programs to ensure an effective quality system is in effect
- Provide training as required to ensure programs are successful in implementing an effective quality system
- Ensure programs are meeting requirements via audits
- Ensure QAPPs meet EPA requirements
- Revise TCEQ's QMP annually

What is document control?

- A systematic process for managing documents through their life cycle
  - Life cycle includes from creation to archival
- Ensuring they are easily retrievable, up to date, secure, traceable, accurate and compliant

Documents vs Records

Documents	Records
Explain actions to be carried out	Provide verification something has occurred
Can be modified (live)	Cannot be modified (historical)
Examples:	Examples:
SOPs, organization charts, emergency plans	Training records, incident reports, audit results

Who needs document control?

- Essential for
  - Maintaining the integrity of information
  - Minimizing errors
  - Ensuring compliance
  - Supporting efficient workflows
- Required by EPA in CIO 2105-S-01.0 (QMP Standard)

Why do we need document control?

- Documents can be found by people that need them
- Current versions are available where appropriate
- Documents can be periodically reviewed, revised, and approved
- Remove obsolete versions promptly from points of use
- Retain/archive obsolete versions
- Prevent NCs by using only current documents

What is an uncontrolled document?

- Documents that go outside of the quality system and over which the Program has no control
- Printed copies are uncontrolled and creates the possibility of an incorrect document being utilized if the unprinted appropriate version has been changed
- Can lead to NC

Downfalls of no document control system

- Using old and outdated forms/procedures
- Inability to find documents when needed
- Don’t know for how long documents are to be retained

What does EPA require?

- QMP shall describe or provide reference to document process for all planning documents prepared, reviewed, approved, issued, used, revised, tracked, and verified.
- Also requires how record management requirements are met, including responsibilities and authorities of management and staff.
- Document control including revision, review, and retention of quality documents, SOPs, and guidance documents

What does this mean?

- If you are following TCEQ's QMP, pay attention to Section 14: Document and Record Processes
- This section outlines specific requirements for document control

TCEQ's QMP Section 14

- Identifies QA documents
  - QMP, QAPP, work plans, contracts and work orders, quality manuals, guidance documents, etc.
- Relates document requirements to appropriate EPA QA/G-6 or TNI volumes 1 and 2 (the latest version)
- Lists out requirements of SOPs

What should each document have?

- Unique identification
- Revision number
- Revision date
- Title
- Issuing authority
- Effective date
- Page numbers

Key components of document control

- Involves processes, technology, and oversight to ensure documents are versioned appropriately
- Develop guidelines to ensure best practices are followed when creating, storing, editing, and archiving documents
- Ensure changes to documents are tracked
- Ensure have a master list of documents

Master list of documents

Reference Number (LQA-FRM-XX-XXX)	Title	Revision Number	Effective Date or Continuation Form Date	Status of Document	Due for revision	Previous Form #	Rev.#	Title	Date rescinded
LQA-FRM-001	Document Awareness Form	2	1/23/2024	Eff.	1/23/2026				
LQA-FRM-002	Training Attendance Form	1	1/23/2024	Eff.	1/23/2026				
LQA-FRM-003	Corrective Action	IP			12/31/1901				
LQA-FRM-004	Approved Suppliers	0	3/1/2025	Eff.	3/1/2027				
LQA-FRM-005	Vendor	0	3/1/2025	Eff.	3/1/2027				
LQA-FRM-006	External Corrective Action Form	IP			12/31/1901				
LQA-FRM-007	External Monitoring Action Form	IP			12/31/1901				

How to build a document control program

- Create document templates to ensure consistency in formatting and content
- Develop a clear labeling system to easily track documents
- Invest in a document storage system

How to build a document control program continued

- Create version control guidelines
- Develop review workflows
- Set document access controls
- Develop archival process

Now what?

TRAIN YOUR TEAM

Request

- Please send Tina Trevino (Team Lead) and me an email about how QA can better support you and your programs:

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Questions?

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