

**Minnesota Department of Agriculture  
Food and Feed Safety Division**

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Version #: 1	Effective Date: 1/13/2017
Title: <b>Document Development and Control</b>	

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**1. PURPOSE**

The purpose of this policy is to outline the document development, management, and control policies used by the Food and Feed Safety Division (FFSD) of the Minnesota Department of Agriculture.

**2. SCOPE**

This policy applies to all official documents created by the staff of the Minnesota Department of Agriculture – Food and Feed Safety Division.

**3. POLICY**

Purpose of Documents

FFSD creates and maintains three official document-types that define the procedures and processes used by the division. The division also creates documents associated with self-assessments, audits, evaluations, training records, and improvement plans associated with the Retail Food Regulatory Program Standards (RFRPS), Manufactured Food Regulatory Program Standards (MFRPS), and the Animal Feed Regulatory Program Standards (AFRPS) hereafter referred to as the Standards. The documents created by FFSD support accurate and consistent work by FFSD employees. The documents are based on the federal and state authority of the division, programs, and units.

Types of Documents - Parent Documents

FFSD has three parent types of official documents defined and used internally within the division. A document set with associated metadata is created for each parent document in SharePoint. The three documents vary in specificity from defining division policy to specific tasks performed by an individual. The three parent documents are listed below.

1. Policy (POLICY): an overarching document used to describe the theory and thought behind specific procedures. Policies are written in broad terms, reference regulatory authority, and use a narrative format that is less action-oriented than a procedure. A policy defines the high level “why” and provides background to the current state of the program.
2. Standard Operating Procedure (SOP): a document that describes specific processes used by the division. A SOP is written in present tense, active voice, and more specific and directive than a policy. The document is a written instruction that provides action oriented steps for specific positions within the division and may reference external roles such as legal counsel or FDA representatives. The specificity of the procedure will vary slightly based on the need identified for the described process.
3. Work Instruction (WI): a document used to describe specific tasks. A WI is used when the SOP is too general, long, or there are many specific tasks that need to be completed for single

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actions. A WI is also used when the tasks are more technical in nature and process differentiation should be minimal. A WI should support an SOP and not be created alone.

Types of Documents – Referenced Documents

FFSD also creates and manages supporting documents including but not limited to: forms and matrixes, internal, external, and joint resources, appendices, guidance, and templates. Referenced documents provide context or information related to the parent document. If specific procedures, tasks, or actions are contained in the Referenced Document, the actions/tasks should be specifically referenced in the parent document.

Referenced Documents are reviewed and revised (unless external) when a parent document is created, reviewed, or revised. Final versions of all supporting documents are stored with the associated parent documents. If updates to a related document occur, affected staff must be notified of the change and the previous version of the related document is removed from all associated parent documents and replaced with the new referenced document. The parent document is also updated if the change to the related document changes the procedure or the referenced name changes. Below is a description of common related documents used by FFSD.

1. Form: a fillable document that is provided as a word document, a locked word document, a fillable PDF, or a fillable excel sheet. Forms will have versions and dates on the document.
2. Internal Resource: is a documents that is created within FFSD which provides further technical information or outreach material used for industry, consumers, and/or regulatory. These may be handouts, checklists, diagrams, pictures, etc. that support the process defined in the parent document.
3. External Resource: is a document created and managed outside of FFSD but are used by FFSD. If there is a web source for the document available, the link is used to make sure the most current external document is available. If a link is not used, the version of the document should be updated if needed when the parent document is reviewed.
4. Joint Resource: is a document that is created and managed jointly with another division within MDA or another department within the state. Joint Resources are stored and managed by all affiliated divisions and agencies. For example, a joint document could be a Memorandum of Understanding, Sample Acceptance Criteria, FERP, etc. These documents are approved by the division director and has a version date.
5. Appendix: is a document that provides detail procedures and guidance specifically related to a parent document. An appendix may be in a PDF packet with the parent document or may be a standalone document in the parent document set.
6. Guidance: is a supporting document that is used when there are not specific tasks or action required by the division but general boundaries for the work. Specifically, a guidance document can be used when tasks or actions are encouraged or supported by the division but not specifically required. Guidance should have limited use only when the information cannot be contained in a Policy, SOP, or WI. Guidance documents are also used to capture audit examples since audits may vary.
7. Templates: is a document created for template letters, inspection reports, etc. that are used as a base document for completion of processes outlined in the parent document. Templates are stored within the main document management system or the electronic inspection system.

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Template documents do not have a version number or date but are controlled within the document control system.

Document Control – Document Information

Parent documents are stored in documents sets on SharePoint. Parent documents define processes used by the division and have specific requirements for content and structure of the information. These documents have the following:

1. A unique identifier (Combination of alphabetical and numerical values)
2. Effective date
3. Title
4. Version number
5. Page Numbers
6. Signature of approving authority
7. Approval Date
8. Change History

Additional documentation is stored within SharePoint, FFSD's document control system including the following:

1. SOP Coordinator
2. Approver
3. Approval Date
4. Revision Date
5. Approval Review Status
6. Related Standards

Document Control - Versioning

Related documents are controlled within the parent document sets. Each internal related documents is reapproved when an associated parent document is reviewed and approved. Related documents require a version number and revision date created by FFSD with the exception of external documents. External Documents are reviewed and updated when notification of a new external version is provided to the document manager or SOP coordinator. Using links to external documents is the most reliable way to keep external documents current and fit for use.

Document Control – Accessibility

Parent and related documents are stored in approved document sets on Document SharePoint. Approved document sets are available to all FFSD employees. Only the most current version of the document is available on SharePoint.

Draft versions of parent and related documents are also stored on the Document SharePoint site. Draft versions have limited access based on responsibility for reviewing and creating documents.

The master word version of documents are stored in the Master Word Documents. Each parent document in the Master Word Documents has three associated files: Draft, Released (Approved), and Archived (Rescinded). Master Word Documents has limited permissions and restricted to only leadership and designated document development staff.

Permissions for the document control site are set based on roles and responsibilities assigned in the division. Permissions may be based on access to the fill site along with specific rights to folders or

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documents. Permissions are managed by the Document Manager, Quality Manager, and System administrator.

FFSD staff are able to print approved documents from the Document SharePoint site. However, there is a warning and they have been informed that once the document is printed, it may be out of date. The most current procedures are located on the Document SharePoint site. If they have a printed version, the previous version should be discarded and no longer used once they receive notification of a new approved version of the document.

Distribution of Documents

Documents are distributed to staff referenced in the circulation and responsibility sections of the parent document. Documents are distributed to staff through the Learning Management System (Absorb). FFSD employees receive an email regarding the training and new document. If there are major changes to the related documents, the parent document or the related document are distributed to staff.

Standard Related Documents and Records

The FDA Manufactured Food, Retail Food, and Animal Feed Regulatory Program Standards require additional documents and records. Standard related documents such as current improvement plans, self-assessments, and appendixes are stored in standard specific lists on the standard SharePoint pages. These documents are stored in specific locations with the current document clearly identified. The documents are considered working throughout the year, but are finalized and dated at least annually and submitted to the FDA. Historical versions of these documents are also stored on the Standard SharePoint sites.

There are a significant number of records retained by the division to also meet the standards as listed in X.5 of the Manufactured Food and Animal Feed Standards along with document requirements for the Retail Standards. These records are stored in a variety of controlled systems including: Absorb (Learning Management System), SharePoint, and USAFS (electronic inspection system). Control of these documents is managed by unique permissions in each system and directly correspond to the roles and responsibilities defined in the approved parent documents and referenced documents.

#### 4. RESPONSIBILITY

**All FFSD Staff:** All FFSD Staff will maintain document control as outlined in documents. If there is a possible document control issue, contact the document manager and the quality manager.

**Approving Authority:** The Approving Authority will review all submitted parent documents, conduct a review of the document and contact the document manager with concerns or questions, sign and date the document, and approve the documents in SharePoint. The approving authority is defined by the division based on the purpose and scope of the document. Refer to FOOD.90.01 and FEED.9.01 regarding specific approving authorities based on document type.

**Division Director:** The Division Director will approve this policy and oversee the implementation of this policy. The Division Director will also support the division in resources and training required to maintain controlled documents for all of FFSD.

**Document Coordinator:** The Document Coordinator will contact the Document Manager when a draft document or update to an approved document is needed, identify content requirements based on Program needs and standard requirements, identify workgroup members (Document Developers) to

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assist with content development, verify workgroup members are utilizing the identified working controlled document during development, and communicate progress to the Document Manager.

**Document Developer:** The Document Developer will participate in workgroup meetings as requested, provide expertise related to the content of the document, complete document development tasks by agreed upon timeframes, utilize the identified working controlled document to during development, and conduct reviews of working and final documents.

**Document Manager:** The Document Manager will manage all draft, approved, and rescinded (archived) documents in SharePoint. The Document Manager will help document developers and coordinators create controlled documents using approved templates, compare document content to standard requirements, provide support and feedback throughout document development, create final document set for final review by Quality Manager and Approving Authority, submit final version of document to approving authority, and notify the Training Coordinator and Training and Standards Analyst that the document is ready for training.

**Quality Manager:** The Quality Manager will verify documents follow document development and control procedures and policies, could be followed by someone with the assigned responsibilities, and meet Standard requirements and use standard language as possible. The Quality Manager will also identify any inconsistencies or issues in the documents (especially if there is overlap with other procedures).

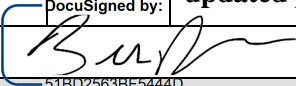
**5. RELATED DOCUMENTS (includes References, Attachments)**

FFSD.SOP.90.01 – Document Development and Control SOP

**6. CIRCULATION**

This policy will be circulated to all Division staff. The current version will be stored electronically on the FFSD document control site.

**7. APPROVAL/DOCUMENT HISTORY**

Document History		
Version #	Status (I, R)	Change History
1	I	<b>Initial Policy Drafting. Original procedure approved on 1/9/2017. Typographical error was found under “Document Control-Accessibility” and updated per procedure.</b>
	DocuSigned by: 	1/13/2017
Approved By: <small>51BD2563BF5444D...</small>		Date
Approved By:		Date

I = Initial document; R = Revised document