# Purpose

This procedure aims to guide people in how to manage controlled documentation. Document control procedures set the framework for how documents are approved, updated or amended, how changes are tracked, how documents are published (internally or externally), and how documents are made obsolete.

# Scope

The procedure applies to hard copy and electronic documentation further defined within the **Document classification framework** within this procedure. Records generated from documents (e.g., Completed forms, checklists) are covered by our records management policies and procedures.

# Procedure

The creation, review and lifecycle management of controlled documents is managed via the

SharePoint software – “SoControl” and the essential steps are highlighted using the following flow

diagram:

Diagram, schematic

Description automatically generated

* 1. **Document Management Enquiries or Support**

If you have questions relating to the Document Management system, such as:

* General user training
* Document Author or Owner training
* Support with the SoControl controlled document application
* Changes to any of the requirements / tools described in this procedure (e.g., Classification categories, need for a new template, governance rules)

Please contact the author of this procedure or email CDMS@wannonwater.com.au

* 1. **New Documents and Updates**

Triggers for the creation of a new document or document updates may include:

* New / changed process
* New / changed legislation
* New equipment
* New strategic or business focus

Creation of a new document can happen in two ways (refer to Process Flow above):

* **0.1 – New from Template**

An employee creates a new document from a Wannon Water document template

* **0.2 - Upload Document**

An employee uploads a document relevant to Wannon Water’s operations, but it is owned and updated by an external party (e.g., DELWP Response Plan). This document must be in PDF format

**Note:** Where Wannon Water engages an external party to create a document, the appropriate template must be provided to that party (e.g., Plan template for a Contingency Plan)

**DO NOT** change document titles during the review and update process without consulting the owner of this procedure

**DO NOT** make any changes to layout and format of templates (e.g., Format, font type / size, colours, metadata in footers)

* 1. **Document classification framework**

| **Name** | **Purpose** |
| --- | --- |
| **Board policy framework** | This provides the Board’s direction and purpose   * Compliance with this framework is the responsibility of the Executive |
| **Standard**  **Policy** | Our standards and policies   * Provide Executive direction * Establish a clear and concise statement of our organisation’s intent, actions, and position * Our standards identify responsibilities for individuals or business areas * May apply to whole of organisation or specific departments |
| **Procedure**  (e.g., OHS / EHS / Drinking Water Quality Procedures, Safe Work Instructions, Management Plans, Manuals, Strategy documents and Charters, Critical Control Plans) | A procedure   * Provides the “how to” and sets out processes to implement the policy or standard * Cannot override or conflict with policies * Compliance with a procedure is mandatory |
| **Guideline**  (e.g., Instructions, Contingency Plans, externally produced protocols) | A guideline   * A set of instructions to aid the implementation of a policy or procedure * This could be a guide written by a manager to further provide support and assistance to their teams * Reflects good practice |
| **Supporting information** | Advice and tools to support staff to comply with the policies and procedures e.g.:   * Forms (templates, eForms, plans) * Checklists * Permits / Licences * WaterSHED content * Software applications (e.g., RiskWare, ChemAlert) * Videos * Monitoring Matrices * Logsheets |

* 1. **Document templates**

The following table lists the approved templates which must be used when creating a Wannon Water document:

|  |  |  |
| --- | --- | --- |
| **Name** | | **Applicable template** |
| **Board Policy Framework** | | * N/A |
| **Standard** | | * Standard |
| **Policy** | | * Policy |
| **Procedural** | Procedures | * Procedure |
| Work Instructions | * Safe Work Instruction * Work Instruction |
| Strategy | * Strategy |
| Charter | * Charter |
| **Guideline /**  **Supporting Information** | | * Work Instruction * Plan * Supporting Information |

* 1. **Document governance**

The following table lists the guidance which must be used when assigning authors and owners to a new document:

|  |  |  |
| --- | --- | --- |
| **Name** | **Author** | **Owner** |
| **Board Policy Framework** | Executive | Board |
| **Standard / Policy** | Executive[[1]](#footnote-2) | Executive1 |
| **Procedural** | Executive  Branch Manager  Manager  Subject Matter Expert | Executive  Branch Manager  Manager  Subject Matter Expert  **MUST** be different to **Author** |
| **Guideline /**  **Supporting Information** | Branch Manager  or  Manager  or  Coordinator / Team Leader  or  Subject Matter Expert | **N/A**  *Author has permission to create or update these documents as needed – in alignment with their relevant Standard, Policy or Procedure.* |

* 1. **Step by step guide**
     1. **Create a new document**

| **Task** | **Task steps** | **SharePoint documents** |
| --- | --- | --- |
| **Create new document from template**  (Author) | 1. Establish need for document 2. Determine document type 3. Select template or upload a document 4. Develop draft document | * Check there are no existing documents that cover the subject or could incorporate the content. Refer to SharePoint or contact this procedure owner if unsure * Confirm best format for content (e.g., document / intranet or website content, video, eForm) * Check **Document classification framework Section 3.3** to confirm the type of document * Download new template from:   **SharePoint - ‘Working Documents’** then **‘+ New’** then **‘New from template’**  Refer to **Section 3.4** for the appropriate template to use for the document type) **or** upload a document (e.g., an external document)   * Update metadata fields * Document titles should be unique, concise, consistent and relevant to the subject – include words likely to be used when searching for a document * Do not record the year of publication of Australian Standards in documents   **DO NOT** change document titles during the review and update process without consulting the owner of this procedure   * Create / update document: Define process (e.g., key steps / risks, inputs and outputs, instructions, items to check)   **DO NOT** make any changes to layout and format of templates (e.g., Format, font type / size, colours, metadata in footers)  Documents should be written in accordance with the requirements described in the **Wannon Water Effective Language Guide** |
| **Consult and finalise draft of new document**  (Author / owner + users / stakeholders + IMS sub-committee if applicable) | 1. Collaborate with stakeholders 2. IMS sub-committee review 3. Get feedback from users | * Document Author sends an email to stakeholders outside of the system and includes a hyperlink to the document * Test content in workplace where required to confirm it is usable / fit for purpose * Send draft to IMS sub-committee   (CDMS@wannonwater.com.au) for any new documents / major revisions to existing documents which are OHS, Environmental or Water Quality impacting - excludes asset Operating Manuals  **Major revision** = (e.g., Material change to a process or procedure – how work will be done, introduction of new plant / equipment)   * Capture and review feedback * Finalise content of draft document – includes a quality check (e.g., Spelling and grammar, tracked changes accepted and turned off, document version history updated) * Create training, communications material where required (e.g., Videos, intranet content, training sessions) * Create implementation plan where required (e.g., Purchase of equipment) to support the document |
| **Quality assurance review** | 1. Complete compliance and quality review | * Email sent to   [CDMS@wannonwater.com.au](mailto:CDMS@wannonwater.com.au)  for Quality assurance check   * Quality assurance to proofread, check formatting, spelling, and branding * Confirm correct template has been used, document name meets standard * Update metadata |
| **Approval, and document publication**  (Author / owner) | 1. Request approval. Approve or Reject document 2. Owner approves and publishes document | * Approval email sent to owner or rejection email sent to author * Approval maybe reassigned * To approve document:   Click on **‘View Document’** in your notification email; or  Go into SharePoint:  **SharePoint – ‘Progress Dashboard’** then click on name of document you wish to approve to access the workflow   * Document copied to Published Documents * New versions created as version 1 * Changes to versions increment by +1 * Last review date & next review date set * Email sent to stakeholders   **Note:** Stakeholders must be entered in the metadata field in **Create new document from template – 4. Develop draft document** |
| **Communicate, train, and implement**  (Author / owner) | 1. Notify users and stakeholders 2. Organise training 3. Monitor implementation | * Communicate that new document has been created and where to find it * Confirm training in the new document is scheduled & recorded * Monitor implementation |
| **Archiving of document** | 1. Document is no longer required | * Email sent to   [CDMS@wannonwater.com.au](mailto:CDMS@wannonwater.com.au)  to review impact of document archiving   * Inform users and stakeholders that document is no longer going to be used – seek feedback on impact * Create implementation plan where required (e.g., Update other documents that reference it, remove soft copies from sites) to support removal of the document * Quality Assurance to move the obsolete/superseded document(s) from Published and Working documents to the Archived Published Document folder and the Archived Working Document folder in Site Contents, respectively. |
| **Printing of document** | 1. As required | * Printed documents are uncontrolled |

* + 1. **Update or revise an existing document**

| **Task** | **Task steps** | **SharePoint documents** |
| --- | --- | --- |
| **Review and update[[2]](#footnote-3) an existing document**  (Author)  ( | Complete review and update of your document by following the scenario relevant to the document below: | |
| 1. Document is scheduled for review (Document comes due for its review – e.g., after 3 years) 2. Document is overdue for its scheduled review 3. Review and update a document before it is due for its scheduled review | * Email sent to Author, 4 weeks before review due date * Click on the link in your notification email * Repeat steps from:   **3.6.1 Create a new document – Create new document from template – 4. Develop draft document**   * Email sent to Author and Owner * A draft copy of the document is created – the existing published version is still visible to users * Click on the link in your notification email * Repeat steps from:   **3.6.1 Create a new document – Create new document from template – 4. Develop draft document**   * Go into **SharePoint – ‘Working Documents’** then click on title of document to be reviewed and updated to access the workflow * Click on **‘4. Published’** circle * Click **‘Start Process’** * A draft copy of the document is created – the existing published version is still visible to users * Repeat steps from:   **3.6.1 Create a new document – Create new document from template – 4. Develop draft document** |

* 1. **Document review periods**

| **Document type** | **Review period (years)** | **Periodic (e.g., Update or change in legislation)** |
| --- | --- | --- |
| **Board Policy Framework** | 5 |  |
| **Standard / Policy** | 5[[3]](#footnote-4) |  |
| **Procedural** | 33 |  |
| **Guideline / Supporting Information** | - |  |

● = Mandatory

1. **Roles and responsibilities**

| **Position** | **Roles and responsibilities** |
| --- | --- |
| Risk Resilience & Assurance Officer | * Monitors and maintains compliance to all document control procedures and work instructions including reporting to IMS Sub-Committee * Reviews drafts for compliance with the corporate style guide, naming, format, and layout requirements * Manages the controlled document templates for design, layout, and metadata properties according to corporate brand and SA/SNZ HB 168 requirements * Ensures controlled documents are reviewed and re-issued or withdrawn prior to scheduled review date |
| Document controller | * Reviews drafts for compliance with the corporate style guide, naming, format, and layout requirements * Maintains the revision and version history of the controlled document for master document version control and verification * Manages workflows, metadata requirements, publishing of approved documents and archiving of obsolete or superseded controlled documents |
| Document author | * Creator, author, and editor of controlled documents within their area of expertise * May be acting on behalf of a strategic or technical committee * Likely to understand legislative, technical, and business requirements * Responsible for   + researching and considering the views and requirements of those who will use and be affected by the document   + documenting details of changes/amendments to controlled documents   + considering the safety of employees when authoring controlled documents   + ensuring that new and revised documents are appropriately approved, disseminated, and understood   + organising the creation of documented information in electronic form (e.g., website pages, eForms)   + being aware of any controlled documents that contain annual charges or Financial Year or EOFY references for updating on an annual basis |
| Document owner | * Owner of Controlled Documents within their area of responsibility * Responsible for reviewing documents for clarity, ensuring documents reflect required and actual processes are adequate and appropriate for the intended audience |
| All employees | * Responsible for following approved controlled documents while carrying out daily activities and operations |
|  |  |

1. **Definitions**

|  |  |
| --- | --- |
| **Term** | **Means** |
| Author | The Author is the person who is creating a new document or updating content of an existing document |
| Charter | Documents that inform certain specified rights, powers, privileges, or functions for Wannon Water and/or its customers |
| CM | Content Manager (electronic documents records management system) |
| Controlled Document | Documents which require ‘control’ are those which are vital to the organisation and:   * their loss, * incorrect access to, or * those that contain incorrect information,   would pose a medium or significant risk to the organisation |
| Guidelines | A set of instructions to aid the implementation of a policy or procedure |
| Form | Document used to record data required by the quality management system |
| IMS | Integrated Management System to provide a framework for managing risk and opportunities, whilst ensuring that we are fulfilling our legal and other requirements |
| Manual | An instructional or informative document |
| Owner | The Owner is the person who is approving the creation of a new document or a change to an existing document |
| Obsolete | No longer produced or used, out of date (in this context, the controlled document is not replaced by a new version but is completely removed from use) |
| Policy | The intentions and direction of an organisation as formally expressed by its top management |
| Procedure | Specified way to carry out an activity or a process |
| Record | Set down in writing or some other permanent form for later reference |
| Review | Determination of suitability, adequacy, or effectiveness of an object to achieve established objectives |
| SoControl | Wannon Waters document control application |
| Stakeholders |  |
| Standard | An information-oriented reference document to provide a clear and concise statement of our organisation’s intent, actions, and position |
| Strategy document | Presents our present situation, outlines future plans, and how to get there |
| Supporting information | Additional documentation and information that explains, defines or informs |
| Uncontrolled document | A document that is accurate at the time it is printed, but is not reviewed or updated |
| Version control | A process which allows a document to be edited and revised while retaining the history of the changes. Version control functionality allows for older versions of the record to be recalled if necessary |
| Work instruction | Detailed descriptions of how to perform and record tasks |
| WaterSHED | Wannon Water’s Intranet |

1. **Governance**

|  |  |
| --- | --- |
| **Parent policy/standard** | Standard – Document Management |
| **Associated procedures/standards** | Standard – Training  Records Management Policy  Records Management Procedure  PROV PROS 07/01 General Retention & Disposal Authority for Records of Common Administrative Functions  SA/SNZ HB 168 Handbook – Document Control |
| **Relevant legislation** | Public Records Act 1973 (Vic)  Privacy and Data Protection Act 2014 (Vic) |
| **Approval** | Chief Information Officer |
| **Procedure owner** | Safety, Risk & Resilience Support Officer |
| **Content enquiries** | Safety, Risk & Resilience Support Officer |

1. **Document version history**

| **Version** | **Date approved** | **Changes made to document** |
| --- | --- | --- |
| 5 | 19/05/2022 | Major review and update of original Document Control Procedure to align with the new IMS Standard – Document Management and implementation of SoControl software application |
| 6 | 22/06/2022 | * Section 1 Purpose and Section 2 Scope wording updated. * Added Zero Harm branding to the front-page header. * Section 3.2. Reworded the title from “New Documents” to “New Documents and Updates” * Section 3.4 Document Templates:   + Removed “General” templates   + Removed the word “IMS” from all other templates where stated   + Removed “**Note:** IMS documents are OHS, environmental or water quality impacting.”   + Removed “Plan” as a document type and the associated “Plan-IMS” template   + Merged the Guideline and Supporting Information document types * Minor administrative changes as required. * Section 3.5 removed Author and Owner definitions and added to Section 5 Definitions * Section 3.7 Reworded the title from “Document review process” to “Document review periods” |
| 7 | 04/07/2022 | * Removed all references to IMS * Minor administrative changes as required * Amended version numbers |
| 8 | 04/07/2022 | * Version number and final page footer amended |
| 9 | 23/08/2022 | * Flow diagram updated (SoControl software update) to include new Stage 4 “Published” and Step 4.1 “Start publishing process” (previously Step 3.2). Section 3.6.2, Step 3 updated to reflect this change. |
| 10 | Refer to footer | * Section 3.6.1, Archiving of document: Added Dot Point 4: “Quality Assurance to move the obsolete/superseded document(s) from Published and Working documents to the Archived Published Document folder and the Archived Working Document folder in Site Contents, respectively.” |
| 11 | Refer to footer | * Email reference updated from “DL-[RiskServices@wannonwater.com.au](mailto:RiskServices@wannonwater.com.au)” to [CDMS@wannonwater.com.au](mailto:CDMS@wannonwater.com.au)” throughout the document * Flow diagram updated (SoControl software update) to include updated Step 3.1 (from “Approve & Publish Document” to “Approve & Preview Document”) and addition of new Step 3.2 “Publish Document”. |
| 12 | Refer to footer | * Section 3.6.2, Review and update an existing document: Footnote added – In event of an agency name change which is referenced in a large number of Wannon Water documentation – changes will be made as documents become due for their scheduled review. * Replaced Procedure owner and Content enquiries from “Management Systems & Quality Officer” to “Safety, Risk & Resilience Support Officer” * Minor administrative changes |
| 13 | Refer to footer | * As per Management Audit # 544 finding: Section 3.3 – removed Critical Control Plans from “Supporting Information” and added to “procedure”. * As per Management Audit Action # 143 (OFI No.3), Section 3.6.1 Task 4 amended to include “Do not record the year of publication of Australian Standards in documents” |

**Appendix 1 – Document Framework**

|  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **Document Type** | **Applicable template** | **Author** | **Owner** | **Review period (years)** | **Periodic (e.g., update or change in legislation)** | **Protection** | | **Displayed and accessed through** | | | |
| **Un-editable (e.g., PDF)** | **Editable** | **SoControl** | **WaterSHED** | **WW Corporate website** | **Software application (e.g., Eform)** |
| **Board Policy Framework** | * N/A | Executive | Board | 5 | ● | ● | N | ● | ● | - | - |
| **Standard**  **Policy** | * Standard * Policy | Executive[[4]](#footnote-5) | Executive3 | 5[[5]](#footnote-6) | ● | ● | N | ● | ○ | ○ | - |
| **Procedural** | * Procedure * Plan * Strategy * Charter * Safe Work Instruction * Work Instruction | Executive  or  Branch Manager  or  Manager  or  Subject Matter Expert | Executive  or  Branch Manager  or  Manager  or  Subject Matter Expert  **MUST** be different to **Author** | 34 | ● | ● | N | ● | ○ | ○ | ○ |
| **Guideline** | * Work Instruction * Plan | Branch Manager  or  Manager  or  Coordinator / Team Leader  or  Subject Matter Expert | **N/A**  Author | - | **●** | **●** | N | **●** | **○** | **○** | ○ |
| **Supporting Information** | * Supporting Information | - | ● | ○ | ○ | ● | ○ | ○ | ○ |

● = Mandatory ○ = At the discretion of the Author

1. Ownership of policy / standard may be delegated by Executive to a nominated representative [↑](#footnote-ref-2)
2. In the event of an agency name change which is referenced in a large number of Wannon Water documentation – changes will be made as documents become due for their scheduled review. [↑](#footnote-ref-3)
3. Unless relevant legislation / obligations require more regular review [↑](#footnote-ref-4)
4. Author / Ownership of policy / standard may be delegated by Executive to a nominated representative [↑](#footnote-ref-5)
5. Unless relevant legislation / obligations require more regular review [↑](#footnote-ref-6)