# Purpose

Wannon Water uses a variety of documentation to support our core business activities and the delivery of our strategic direction. Failure to effectively control documents can result in a lack of, or incorrect, information communication resulting in increased risk or a breach of obligations. Document control protects the value of the content of documents and enhances the usefulness of that content for employees who need it to do their work.

The purpose of this standard is to provide a framework and guidance for the management of documents.

# Scope

This standard applies to the creation, review, control and lifecycle management of controlled documents as required by Wannon Water.

This standard applies to hard copy and electronic documentation. Records generated from documents (e.g., Forms, checklists) are covered by our records management policies and procedures.

# Standard requirements

| **Standards** | **Responsibility** | **Accountability** |
| --- | --- | --- |
| **Document Creation and Approval** |  |  |
| Ensure creation of documents follows the requirements defined in the **Document Type** table belowand the **Document Control Procedure.**  Theapproved templates which support this standard must be used. | Document Authors | CIO |
| Ensure ownership and approval of documents follows the requirements defined in the **Document Type** table belowand the **Document Control Procedure.**  **Note:** Minor amendments (e.g., spelling and grammar) are exempt from the approval process. | Document Owners | CIO |
| Ensure documents have:   * A document title * A version number * A date of issue * A review date * A history of changes or updates   **Note:** External documents not commissioned by Wannon Water are exempt (e.g., DELWP Contingency Plans). | Document Authors | CIO |

| **Standards** | **Responsibility** | **Accountability** |
| --- | --- | --- |

|  |  |  |
| --- | --- | --- |
| Documentation relating to the implementation[[1]](#footnote-2) of OHS Standards will be managed by Manager Safety Risk & Resilience or delegated subject matter expert. | Manager Safety, Risk & Resilience | GM People & Business Services |
| Documentation relating to the Implementation of Environment and/or Water Quality Standards will be managed by Manager Operational Monitoring & Reporting or delegated subject matter expert. | Manager Operational Monitoring & Reporting | GM Assets & Service Delivery |
| Any new procedure which relates to OHS, environment or water quality must also be approved by the IMS Sub-committee. | Document Authors | Manager Safety, Risk & Resilience |
| Where practicable; OHS, Environmental and Water Quality requirements will be incorporated into the one document. | Document Authors | Manager Safety, Risk & Resilience |
| Ensure all supporting documents and records are referenced.  Where practicable – reference supporting documents rather than duplicating the information. | Document Authors | Document Owners |
| Ensure documents are clear, easy to use and developed with input from employees who will use them. | Document Authors | Document Owners |
| Ensure subject matter experts are consulted to ensure new documents meet any relevant obligations. | Document Authors | Document Owners |
| Ensure sections of original documents are not copied and used without document control (e.g., photocopies of pages from manuals). | Document Authors | Document Owners |
| Ensure documents are reviewed and approved for suitability and adequacy. | Document Authors | Document Owners |
| **Document Deletion (Obsolete and Superseded Documents)** | | |
| Ensure that the deletion, or when a document is superseded, is managed in accordance with the **Document Control Procedure**. | Document Authors | Document Owners |
| Ensure any document deletion is agreed by the people who use it. | Document Authors | Document Owners |
| Deletion of any document which relates to OHS, Environment or Water quality must also be approved by the IMS Sub-committee. | Document Controller | Manager Safety, Risk & Resilience |

**Document Type**

| **Name** | **Purpose** | **Approval Responsibility** |
| --- | --- | --- |
| **Board Policy Framework** | This provides the Board’s direction and purpose   * Compliance with this framework is the responsibility for the Executive to execute. | Board |
| **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 | Executive  (Separate Custodian / Approver) |
| **Procedure** | 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 | Executive / Branch Manager / Manager/ Subject Matter Expert  (Separate Custodian / Approver) |
| **Guideline** | A guideline   * Provides general guidance, and additional advice and support for policies, standards or procedures Principle based documentation to guide (e.g., Contingency plans) * Could be a guide written by a manager to further provide support and assistance to their teams * Reflects good practice | Branch Manager / Manager/ Team Leader /  Co-ordinator / Subject Matter Expert |
| **Supporting Information** | Advice and tools to support staff to comply with the policies and procedures   * Forms (Templates, eforms, Plans) * Checklists * waterSHED content * Software applications (e.g., RiskWare, ChemAlert) * Videos | Branch Manager / Manager/ Team Leader /  Co-ordinator / Subject Matter Expert |

| **Standards** | **Responsibility** | **Accountability** |
| --- | --- | --- |
| **Document Use, Storage and Printing** |  |  |
| Ensure documents are stored and displayed in the approved systems in accordance with the **Document Control Procedure** | Document Controller | CIO |
| Ensure documents being used are approved and the current published version, that is, ensure the current document is available and suitable for use, where and when it is needed. | Document Controller | CIO |
| Procedures being developed for trials or projects must be created and managed in accordance with the **Document Control Procedure** | Project Managers | Document Owners |
| Ensure the storage and preservation of all documents, including preservation of legibility, throughout the entire lifecycle of the document (i.e., for the retention period as dispositioned) in accordance with the **Document Control Procedure**. | Document Controller | CIO |
| All documents when printed must have a version number and approved date or date of production | Document Controller | CIO |
| Ensure the distribution, access, retrieval and use in accordance with the **Document Control Procedure**. | Document Controller | CIO |
| **Document Review and Update** |  |  |
| Ensure documents are maintained and accurate[[2]](#footnote-3) in accordance with the following triggers for update:   * Changes to process (e.g., work method, equipment, materials) * Changes to legislation or other obligations * New information about hazards or risks * In response to an incident or audit finding * Document becomes due for its scheduled review | Document Authors | Document Owners |
| Ensure any impacts from review and update of documents are identified and communicated to relevant stakeholders (e.g., change of document title, references in other documents / processes, requirement for retraining) | Document Authors | Document Owners |
| Ensure changes to documents are controlled in accordance with the **Document Control Procedure.** | Document Controller | CIO |

# Training and Assessment

|  |  |  |  |
| --- | --- | --- | --- |
| **Standards** | | **Responsibility** | **Accountability** |
| Employees taking on a role of creating or approving documentation must be made aware of and trained in this standard | | Records Administrator  People & Training Coordinator | Executive People & Resilience |
| **Role** | **Training Requirements** | | **Frequency** |
| **Course or Procedure** | |
| Document Authors  and  Document Owners | Documentation Standard | | When employee is appointed to Custodian or Approver role  Refresher training will be completed on an as needs basis if non-compliance is identified |
| Document Control Procedure | |
| waterSHED SoControl – Training Instructions for Authors and Owners | |

# Monitoring

|  |  |  |
| --- | --- | --- |
| **Standards** | **Responsibility** | **Accountability** |
| Ensure compliance with and effectiveness of this standard is verified at least every four years by including periodic audits in the Audit Program | Management Systems & Assurance Officer | Manager Safety, Risk & Resilience |

# Definitions

|  |  |
| --- | --- |
| Term | Means |
| 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. |
| CIO | Chief Information Officer |

# Governance

|  |  |
| --- | --- |
| **Parent policy / standard** | * Zero Harm Policy * Records Management Policy |
| **Associated procedures / standards** | * Document Control Procedure * waterSHED – Training Instructions for Authors and Owners * Document Templates * AS/NZS ISO 9001 Quality management systems – Requirements * SA/SNZ HB 168 Handbook – Document Control |
| **Legislation mandating compliance** | * Public Records Act 1973 (Vic) * Privacy and Data Protection Act 2014 (Vic) |
| **Approval** | Executive Committee |
| **Owner** | Chief Information Officer (CIO) |
| **Content enquiries** | Safety, Risk & Resilience Support Officer |

# Document version history

|  |  |
| --- | --- |
| Version | Changes made to document |
| 1 | New document |
| 2 | Footnote added to Document Review and Update. 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. |
| 3 | Minor administrative change – removed tracked changes. |
| 4 | Update of position titles. |

1. Documents include (e.g., Procedures on how to implement the standard, Templates, Forms). Operational documents must align with the standards and are managed by the Branches / Teams using them, with support from OHS, environment or water quality subject matter experts. [↑](#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)