Document Control Policy

PHX118

Contents

Purpose

The purpose of this policy is to establish a standardised approach for the creation, control, distribution, and maintenance of documents in compliance with ISO 9001 requirements. This policy ensures that accurate and up-to-date documents are available to authorised personnel, while obsolete or unauthorised documents are effectively managed.

Scope

This policy applies to all company standard documents, including but not limited to policies, procedures, work instructions, forms, and records, generated and utilised within Phoenix. The process to support control of external documents can also be found within this policy.

Policy Statement

Document Identification and Version Control
- Each document shall have a unique identification number or code for easy identification and tracking.
- Document versions shall be clearly indicated and controlled to ensure the use of the latest revision in accordance with the following rules:
  - **Major version increments (1.0, 2.0, 3.0, etc.)**: Used when there are significant changes or updates in the document, such as adding or removing a section, making significant changes to existing sections, or overall revisions of the entire document.
  - **Minor version increments (1.1, 1.2, 1.3, etc.)**: Representing minor changes or updates to the document, such as correcting typos, clarifying wording, or making small updates that do not fundamentally change the policy's meaning or intent.

Document Creation and Review
- All documents shall be created, reviewed, and approved by authorised individuals.
- Documents shall be accurate, clear, and consistent with ISO 9001:2015 requirements.
- Document owners shall ensure that documents are regularly reviewed and updated as necessary.

Document Approval and Authorisation
- Documents shall be approved by designated individuals or departments with the authority to do so.
- Authorised personnel shall be responsible for ensuring that only approved documents are distributed and used.
- Controlled documents shall be made available to authorised personnel based on their job responsibilities and requirements.
- Access to confidential or sensitive documents shall be restricted to authorised individuals only.

Document Storage and Backup

Phoenix employs several electronic business tools, maintained in the following methods:

- Transactional backups take place every 5 minutes for Oasis and every 15 minutes for Sage.
- Emails are retained using Enterprise Vault which holds copies of all email traffic in and out of the company. Emails are easily retrieved if needed by Service Desk personnel.
- Full system backups of electronic business tools are done every working day to an offsite location.
- Email alerts inform the Service Desk when a backup has failed to complete. The Service Desk personnel review the necessity of when to re-run the backup procedure or ensure the next backup procedure occurs correctly.

Control of External Documents

External documents include those used for enrolments, contracts as well as agreement forms from vendors and suppliers. Phoenix follows a process to ensure to ensure external documents are effectively managed, updated and only accessed as and when required based on role.

1. Vendor/Supplier Notification: Vendors and suppliers notify Phoenix of any upcoming changes to the documents they provide. This notification is typically done via email.

2. Document Review: Upon receiving the notification, the Operations team reviews the changes proposed by the vendor or supplier. They evaluate the impact of the changes on Phoenix's processes and determine the need for any adjustments.

3. Document Release: After reviewing the proposed changes, the Operations team prepares the updated document for release. They ensure that the document is uploaded to the specified area on SharePoint and is available for stakeholders. Each document is given a clear and concise title that accurately represents its content. This makes it easier to identify the document and understand its purpose.

4. Document Effective Date: The Operations team ensures that the new document is released on the correct date specified by the vendor or supplier. They verify if any specific effective date has been provided and ensure that the document is available for use from that date onwards.

5. Email Retention: A copy of the email notification received from the vendor or supplier is retained by the Operations team. This helps in maintaining a record of the communication and serves as evidence of the request received.

6. Customer Access: For customer-specific documents, such as Customer documentation or Microsoft Contracts, a personalised file is created for each customer on SharePoint. This file is accessible for the authorized Phoenix team members.

7. Access to Microsoft Contracts: Microsoft Contracts are stored on eAgreements, a Microsoft system. The Operations team has access to this system and can retrieve and send a copy of the contracts to the customer upon request.

8. For document control Phoenix apply version control, implementing a version control system ensures that changes made to documents are recorded and easily traceable. Each updated

version should have a unique version number or date to differentiate it from previous versions. This helps maintain legibility and familiarity across different documents

9. Use appropriate headings and subheadings: Use headings and subheadings to structure the document and make it easier for readers to navigate. This will also help readers quickly find the information they are looking for.

Document Retention and Obsolescence
- Records of document revisions, and obsolescence shall be maintained in conjunction with Phoenix's data retention policy.
- Obsolete documents shall be identified, removed from circulation, and replaced with the latest revisions.

Document Change Control
- Any proposed changes to documents shall follow the document review process.
- Changes shall be reviewed, approved, and implemented in a controlled manner to maintain document integrity.

Training and Awareness
- Employees shall be provided with training and awareness on document control procedures and their responsibilities.
- Employees shall understand the importance of adhering to document control procedures and maintaining document accuracy.

Continuous Improvement
- The effectiveness of the document control process shall be monitored, evaluated, and improved on an ongoing basis.
- Lessons learned from audits, inspections, and corrective actions shall be incorporated to enhance the document control system.

Responsibilities

Management shall be responsible for ensuring the implementation, maintenance, and effectiveness of this policy.

Document owners shall oversee the creation, review, and maintenance of documents within their respective areas.

Document controllers shall be responsible for the administration and enforcement of document control procedures.
All employees shall comply with this policy and actively participate in the document control process.

Compliance

This Document Control Policy shall be reviewed periodically to ensure its continuing suitability and effectiveness.

Revisions to the policy shall be approved by designated individuals or departments.

| Classification: | Company Confidential | Revision Number: | 1.1 | |
| Reference: | PHX118 | Revision Date: | 11th July 2023 | Page | 5 |

Please treat this information as private and confidential.

Version Control

Author	Version	Date	Description
Geoff McGann	1.0	06/06/2023	Original document
Geoff McGann	1.1	11/07/2023	Added section for control of external docs

Document Approval

Name	Version	Date	Position
Clare Metcalfe	1.0	12/06/2023	Operations Director
Clare Metcalfe	1.1	14/07/2023	Operations Director

Signed: *Clare Metcalfe*   Clare Metcalfe, Operations Director

Dated: 14/07/2023