

Document Management Policy. Version 1.2

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| Reference | 1001 |
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| Approver | Majority of Trustees |

This is a controlled document and is listed in the master register of eQuality Time documents, available on request from eQuality Time’s trustees. It is also on the sub-register of documents relevant to the Open Voice Factory, which is publicly available at https://github.com/eQualityTime/MHRA-Technical-File/blob/master/OVF%20controlled%20documents.csv

## Scope

This policy applies to any electronic file or physical document deemed significant to the operation of eQuality Time by the trustees or their delegate. Anyone working on an eQuality Time project must comply with this policy, whether they are an employee of the organisation, a sub-contractor working for the organisation or a volunteer providing their services pro-bono.

## Glossary

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| **Term** | **Meaning** |
| Document | An electronic file or physical document which should be retained as part of the company library |
| Controlled Document | A Document which should be retained and is under the scope of this policy |

# Introduction

This document contains eQuality Time’s Document Management Policy which governs how documents are managed.

For the purposes of this policy, a Document is any electronic file or physical document which is significant to the operation of the company in relation to an application managed by the company. Some Documents are of transitory value and do not need to be retained. These documents are not included in the scope of this policy. It is the responsibility of the Document Author to determine whether a document should fall under the scope of this policy. Documents which do fall under the scope of this policy can be referred to as Controlled Documents

# Document Identification

Every Controlled Document must have an associated ticket in the register of eQuality Time controlled documents. Every ticket must have a unique reference. This reference must be quoted on the document. The maintenance of the register is the responsibility of the company secretary.

## Version Numbering

Every document must have an associated version number. Version numbers should have the following format:

n.m

where:

* n[d] indicates the version number
* m indicates the revision number

Prior to first approval the version number shall be 0. The revision number may be incremented as many times are required.

On first approval the version number shall become 1 and the revision number shall be 0.

If the document is subsequently updated, the revision number may be incremented. If the document is subsequently approved, the version number is incremented, and the revision number returned to 0. For example, version 1.1 is the first iteration of making changes to version 1 of a document.

The version number should be included in the document itself.

If a document with the unique reference number and a higher version number is approved, the previous versions are automatically considered revoked.

Any document with an m>0 is considered a draft document. The document with m=0 and the highest value of n is considered the current approved document. Documents with m=0 and lower values of n are considered revoked.

# Document Roles

The following are involved in the creation and management of Controlled Documents

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| * Author\* | The person with responsibility for the creation or revision of a document. |
| * Contributor\* | Any other people involved in the creation of a document |
| * Approver\* | The person or people who agree that the document is approved |
| * Watcher | Anyone who wants to be kept informed on the status of the document |
| * Librarian | The person who is responsible for managing the whole document repository |

\* These individuals must be named on the document, or a cover sheet associated with the file.

# Document Statuses

Documents may have one of the following statues:

Draft

Approved

Deleted

Documents are created in Draft state. Once the author is satisfied that document is complete they may submit it for Approval. If the document is approved by all approvers the status is changed to Approved.

It may be decided that a draft document will not be required so it can be moved to a Deleted status.

Issued Documents may also no longer be required and so can also be moved to deleted.

Note that no Controlled Document is ever deleted such that it cannot be recovered. Rather the status is changed to Deleted.

# Document Approval and Authorisation

All Controlled Documents must have at least one approver.

The approver must be a different person from the author.

Generally a Controlled Document is referred to in one of eQuality Time’s policies and the policy will indicate who the approver(s) should be. If this is not dictated by a policy, the author may choose who the approver(s) should be.

Approval is indicated electronically in the associated issue ticket for the document. Approvers should append a comment to the issue ticket indicating their approval (with the word ‘approved’ for example).

# Document Storage

Approved documents should be stored in a way which is searchable and easy to find. The controlled documents register must describe the documents location.