Policy No. 1.01 – Document Control

Policy Name & Number:	Policy No. 1.01 – Document Control (Version 2)
Approved by:	Community Gateway Board of Management
Effective Date:	July 2019
Review Date:	July 2021

POLICY STATEMENT

Community Gateway is committed to the establishment, implementation and maintenance of a Document Control process which ensures that policies, documents and data which underpin its Quality Management System (QMS) are appropriately controlled.

PURPOSE

The purpose of this policy is to ensure that there is consistency in developing and presenting policies and procedures and associated documents, including writing, amendment, approval and issue.

SCOPE

This policy applies to all policies, procedures, forms or other documents which constitute the QMS and which are located in, and accessible from, Community Gateway's computer drives. It covers approval, issue, recall, controlled copies and uncontrolled copies of documents contained within the QMS.

DEFINITIONS

Policy: A statement of an organisation's or service's philosophy and general approach to an issue. A policy should describe the way in which the particular issue will be addressed in the context of the organisation or service concerned.

Procedure: Steps taken to implement the policy. Procedures will usually be more detailed than policies and, where relevant, should specify such things as timeframes for actions to be taken.

Draft: A document which has been written but has not been approved by the Board of Management, the CEO or the CQI Committee. A "draft" document is generally for review prior to formal approval, and is subject to changes until the final draft is presented for approved.

Document Control: Refers to the regulation of documents by number, name, version, effective date, review date and history of amendments.

Documentation/Document: For the purpose of this policy these terms refer to policies, procedures, guidelines, templates, forms, and other related documents.

Controlled Document: A policy, procedure or form that is contained within the QMS and is approved, reviewed and distributed. For the purpose of this policy, document refers to a controlled document unless otherwise stated.

Uncontrolled Document: A document that is not contained within the QMS data base or on Community Gateway's computer drives or is an authorised hard copy. This includes controlled documents once they have been printed or photocopied.

External Document: A document supplied by an external third party and incorporated into the Community Gateway QMS, eg insurance forms.

Version Control: Is used in relation to all controlled documents to effectively manage the document revision process and avoid confusion about which is the current correct version.

RESPONSIBILITIES & DELEGATIONS

The Board of Management will be responsible for the final approval and authorisation of all new policy documents.

The CEO or their delegate will be responsible for:

- The preliminary approval and authorisation of all draft new policies for presentation to the Board of Management for approval.

- The scrutiny, approval and authorisation of procedures, and associated documents and forms, prior to issue.
- Ensuring that relevant staff are aware of and competent in the use of the electronic QMS data base pertaining to their role.

The Director HRM, Quality and Risk (or their delegate), as the Quality Improvement Coordinator (QIC), has carriage of the QMS, and is responsible for:

- The effective implementation of the document control system in line with this policy and related procedures.
- Placement/issue of new and updated documents on the QMS data base.
- All version control changes to the QMS documentation and records in the Document Control and Internal Audit Register.

Managers and Team Leaders, or their delegates, of each Community Gateway service will:

- Be responsible for ensuring that all hard copy documents, applicable to their area of responsibility printed from the QMS or other relevant data bases are the most up-to-date version.
- Ensure that current documents are available to those people within their area of responsibility who may need to use them and, where practicable, at the point of use.
- Be responsible for the removal and destruction of obsolete or superseded documents as directed by the QIC.

POLICY

As a general guide, all Community Gateway policies should be:

- Consistent with each other and use common terminology
- Clear and reflect actual requirements
- Applied consistently across the organisation
- Up-to-date and reviewed regularly
- Available to all staff and other stakeholders
- Compliant with relevant external statutory and regulatory requirements
- Clear in explaining any breach provisions and their consequences

Document Identification

All documents within the QMS must be legible and readily identifiable. Community Gateway policies will be classified under the following categories:

1. Governance and Management Systems
2. Access and Service Delivery
3. Human Resources

Externally provided documents incorporated into the Community Gateway QMS will be clearly identified and be registered in the Document Control and Internal Audit Register.

Changes and Revision Status

The Policy Development and Review procedure details how policy changes can be initiated and followed through. Changes to policies and other QMS documents must be approved and recorded in the Document Control and Internal Audit Register. Reviewed and updated documents must be approved by the CEO and the version number and date of approval recorded in the Document Control and Internal Audit register and on the actual document prior to re-issue.

Document Template

All Community Gateway QMS documents, where practicable, should use a standard format, specific for the document type. Final documents should be made available to staff, generally in PDF format.

A Policy Development Guide and Checklist has been developed as a generic guide to help document new Community Gateway policies. The Policy Development Guide and Checklist form number is Q001.

Document Approval
Once a new or revised document has been drafted and the consultation process is completed it is submitted to the CEO to consider and complete the approval and authorisation processes. In the case of new policy documents and major changes to policy documents, the CEO will refer the documents to the Board of Management for approval.

Documents that have been reviewed as part of a scheduled review process and have been considered to be both up-to-date and relevant (without the need for amendment) will be reissued with a revised Review Date on both the document and the Document Control and Internal Audit Register.

If a document is to be totally rescinded, the QIC is to archive the document appropriately and recall all previous versions.

Issue, Distribution and Training
Following the approval of a new policy, or the update of an existing policy, the QIC notifies all managers, team leaders and supervisors of the updates by email and requests that all staff, clients and carers be informed as appropriate.

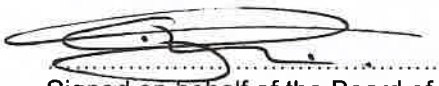
It is the responsibility of managers, team leaders and supervisors to ensure that staff and relevant stakeholders are informed of and, if necessary, trained in the application or use of a new or revised document. Document training methods may include discussing a new version during staff meetings or formal internal or external training sessions. Staff attendance at training or information sessions must be recorded. Where relevant, staff may be required to acknowledge they have read and understood the process outlined in a policy or other document.

Forms
All forms developed by Community Gateway staff for internal and external use must be submitted to the QIC for approval. The QIC will check for suitability of function, consistency, duplication and compliance with accepted formats, and will allocated a number to the form from a register kept for that purpose.

Access, Security, Storage and Archiving
The QIC maintains a master copy of all QMS documents in Word and PDF formats. The Word versions are stored in an access-protected electronic folder and the PDF versions are made available for staff to access. All documents are backed up to an external source on a daily basis.

LEGISLATION AND STANDARDS COMPLIANCE
NDIS Practice Standard 2 – Provider Governance and Operational Management
Aged Care Quality Standard 8 Organisational Governance – Part (c)(i) information management and Part (c)(ii) continuous improvement

RELATED POLICIES/PROCEDURES/FORMS
Policy Development Guide and Checklist
Document Control and Internal Audit Register
Forms Register



Signed on behalf of the Board of Management of Community Gateway Inc

Date: 5TH JULY 2019