



PP-30 Document Management Policy & Procedures

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Purpose

This policy defines the RTO's approach to the development, review, naming and version control of all documents including tools, forms, resources, policies and procedures and others.

Policy

1. All internally produced documents used by the organisation are subject to version control as set out in the below procedures.
2. All staff must ensure that they use the current version of all documents.
3. Files will be saved centrally for access by staff in the shared point. Files are archived as they are superseded by a new version. Files will not be deleted other than by an appointed person for maintenance purposes and only where a backup of the data exists.
4. All document authors or developers must follow a consistent approach to the development of documents, and follow all guidelines as set out in the below procedures. Document authors or developers must also ensure that prior to the development or revision of any document, approval to commence revision or development is granted by the Compliance Manager.
5. Policies and procedures will be reviewed at least annually to ensure they are up to date, accurate and compliant. Other documents will be reviewed during continuous improvement processes. The Compliance Manager is responsible for ensuring that policies and procedures are reviewed by their due date.
6. All documents are subject to approval prior to use by any staff member. Approval must be given for every document by the authorised person specified within the below procedure.
7. Approved documents will be saved for use in the shared point.



Procedures

1. Document Development

Procedure	Responsibility
Format of documents <ul style="list-style-type: none">All documents must be created using the font Arial Unicode.	Administration team
Document Naming <ul style="list-style-type: none">All documents must be named clearly so that others can easily interpret what the document is for.The document title must be followed by the version control. See below.The full document name with version control must appear in the document footer.	Author or Reviewer
Development of policies and procedures <ul style="list-style-type: none">Policies and procedures are to be written using the policy or procedure template. The templates include the appropriate headings and format.Include the 'Document Control' section at the end of the document showing the details of the policy/ procedure and link it to Standards where applicable.Policies and procedures are coded according to the area of business they relate to.All policies and procedures are to be considered Draft until approved by the Management team.	Author or Reviewer

2. Version Control

Procedure	Responsibility
Version logic <ul style="list-style-type: none">Whenever an update is made to a file, a new version of the file with the same name is created.Versions must increment by 0.1 for minor changes to layout, grammar, spelling, typing errors etc.Versions will increment by 1.0 where major changes are made to content.Version control should be shown on file names and also in footers of all documents.	Administration team



3. Document Approval

Procedure	Responsibility
<p>Approval permission</p> <ul style="list-style-type: none"> All documents must be approved by the appointed person as outlined below. The approving person must check content as well as compliance with this and related policies and procedures. <ul style="list-style-type: none"> Forms will be approved by the CEO. Policies and Procedures will be approved by the Management team. Training and assessment documents and materials must be approved by the CEO. Other documents will be approved by the Administration Manager, Compliance Manager where the CEO deems appropriate. 	Administration team
<p>Saving approved versions</p> <ul style="list-style-type: none"> When approving a document, save the approved version on the file server with 'Approved' added to file name and footer. When approving the document, update the date of the version only (and not the version number). 	Author or Reviewer
<p>Record approved documents</p> <ul style="list-style-type: none"> Once a document has been approved ensure the document details are provided to the CEO for recording in the document register. 	Author or Reviewer

4. Document Storage

Procedure	Responsibility
<p>Electronic file storage</p> <ul style="list-style-type: none"> All documents, including drafts must be saved shared point. The location of saved files must be easily identifiable by others within the organisation. The file server has folders set up for each area of the business. Files must be saved in the folder most appropriate to its area of business. Documents from 'Archived' folders are not to be used under any circumstances. These are used for archival purposes only. 	CEO



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Procedure	Responsibility
<ul style="list-style-type: none">• If a required document cannot be found contact the Compliance Manager immediately.• No files are ever to be deleted from the file server by anyone other than a person appointed to do so by Compliance Manager.	
<p>Archiving documents</p> <ul style="list-style-type: none">• Store previous versions of all documents in the 'Archived' folder within each electronic folder.• Upon the approval of a new version of a document, move superseded files into the 'Archived' folder.	CEO