



# Document Control Guidelines

## Rationale

To define the way Brook RED creates, tracks, manages and stores documents to ensure that Brook RED has quality management systems in place and to safeguard the organisation for potential future uncertainties.

Brook RED acknowledges that having document control guidelines in place makes us more efficient and ensures documents always contain the correct information. Document control also supports our audit and compliance processes and activities.

## Controls

Brook RED uses the following document controls:

1. Approval of documents for adequacy prior to issue
  - a) Once a document is drafted, it will go through a process of review where it is read, commented on by relevant staff and other stakeholders and amendments made where necessary prior to its finalisation and release
  - b) All documents must be approved by the General Manager
  - c) Documents in draft format, contain the 'DRAFT' watermark
  - d) When documents are approved and finalised the watermark is removed and the document is made available to users
2. Review and update of documents as necessary and re-approval
  - a) Documents are reviewed once annually or more frequently as appropriate during periods of organisational change
  - b) Documents are reviewed by the General Manager, relevant Seniors/Managers, and other relevant stakeholders as appropriate
  - c) Reviewing a document does not mean that it must be revised, if it is still fit for purpose and no changes need to be made then it can stay in its current version
  - c) To protect from unauthorised editing, Brook RED only shares documents in PDF format (unless it is impracticable to do so)
3. Change and current revision status of documents are identified
  - a) When a document has been revised, a new version is created and this is tracked in the Policy and Document Register
  - b) A record of change table is included in all policies and procedures
  - d) The document version number are found in the header of documents to provide visibility to readers and mitigate confusion between superseded versions
4. Relevant versions of applicable documents are available at point of use
  - a) Brook RED has a document controller who holds the master copies (electronically) of every document and has responsibility to ensure users have the correct revision
  - b) Current versions are stored in a shared computer folder
  - c) Brook RED keeps a back up of all computer files externally to ensure documents are not lost
  - d) Staff are notified of changes to documents via email and team meetings

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5. Documents are legible and readily identifiable
  - a) All official documents have a version code
  - b) Documents are coded in the following format:

Area Number. Policy Number. Document Number Version Number - Document Name

Example: Form 1.01.01 Version 1 - Complaints Form

See Policy and Document Register for actual codes

6. Documents of external origin determined by the organisation to be necessary for the planning and operation of the quality management system are identified and their distribution controlled
  - a) From time to time, Brook RED adopts documents from external agencies, these documents must be approved by the General Manager prior to their release
7. Prevent the unintended use of obsolete documents and to apply suitable identification to them if they are retained for any purpose
  - a) Superseded or obsolete documents will be removed from the shared folder and staff will be advised to destroy paper copies. Staff are advised to only print copies as necessary rather than have piles of forms, to reduce circulation of older versions
  - b) Old versions will still be kept electronically by the Document Controller for future reference, as evidence of quality improvement and historical development of processes
  - c) Documents must be created using relevant templates to ensure consistency, readability, and to portray a professional image to the broader community

## Definitions of Terms Used

None

## References

Brook RED Policy and Document Register

## Document Control and Record of Changes

Version	Effective Date	Approved by	Summary of Change	Date of Next Review
Version 01	December 2017	Eschleigh Balzamo	Introduction of new guidelines	January 2018
Version 02	September 2019	Eschleigh Balzamo	Review and update	January 2021
Version 03	June 2021	Eschleigh Balzamo	Review and Update	June 2023

# Document Control Guidelines

The General Manager has overall responsibility for this guidelines. If there are any questions regarding these guidelines, please direct these to the Business Services Manager or General Manager.