

Columbia College

Document Control Policy and Procedures

NOTE: Must; Shall; Will: Should: May or Could; Can:	Clarification of Terms These words or phrases indicate actions or activities that are <i>essential or mandatory</i> . This word implies that it is highly desirable to perform certain actions or activities, but not essential or mandatory. These words imply freedom or liberty to follow an alternative to the action or activity being presented in a document.
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INTRODUCTION

Every effectively run organization has adopted a system to manage the development, procedures for use and method of updating or revising existing documents.

The following document was created by Columbia College to manage its documents. This document includes who is responsible to manage college wide documents as well as those specific to a department or program.

This document discusses procedures for reviewing, updating and re-approval of existing documents. It goes on to state where employees may find approved documents and describes the essential components of an approved document.

1. Define Document Control System

a. Document Control Center Authorized Personnel

Authorized Personnel of the Document Control Center include the Registrar or designate and the Network Administrator or their designate. The Network Administrator sets the access rights based on the requirements of the Document Control Center. The Document Control Center maintains a Master List of all official corporate documents.

b. Official Corporate Documents

Official Corporate Documents apply to the entire college and are approved by the President or designate.

Program/Department Documents

Program/Department documents are specific to a particular program/department and normally follow the same formatting as official corporate documents.

Program/Department documents are also secured on the network. The Master List of program/department documents is maintained by the Program/Department Chair/Manager or their designate. The approval authority for program/department documents is the Program/Department Chair/Manager or their designate. The Program/Department Chair/Manager or their designate is responsible to update and maintain their program/department controlled documents.

c. Official Corporate Documents are secured in one location on the network. Only authorized personnel are allowed access to these official corporate documents. The remaining employees have read only access to all official corporate documents. They are allowed to print the official corporate documents, but are not allowed to make any changes or save the document as a new document.

d. Forms that employees require (i.e. Time Sheets) are located on the employee Intranet website. These forms are protected so that they cannot be changed, but employees are allowed to fill in certain areas on the forms. These forms may come in the following formats: fillable PDF forms, Microsoft Word, or Microsoft Excel.

- e. Printed copies are automatically considered non-controlled and should be used on a temporary and limited basis. Official Corporate Documents are available on the employee Intranet website through the Document Manager. The Master List of all official corporate documents is available on the employee Intranet website.
- f. Examples of documents that are **not** official documents include:
 - Memos
 - Letters
 - Annual reports
 - Staff Directory Lists
 - Archived controlled documents
- g. All computer source files such as official corporate documents are protected via a daily automated backup process that is scheduled to start and run automatically after business hours. The backup is stored on removable hard disks that are rotated offsite each day to furnish the restoration of critical files in the event of equipment malfunction, fire, theft or other problems. Monthly removable hard disks are stored at a document storage company off-site location and remain there for a year.

2. Approve Documents for Adequacy Prior to Use

- a. Official Corporate Controlled Documents are identified on the Corporate Master List. The documents are reviewed and approved by the President or designate prior to issue or release. Official Program/Department Controlled Documents are identified on a Program/Department Master List, and are reviewed and approved by the Program/Department Chair/Manager or designate.
- b. Evidence of approval control is indicated on each controlled document on the document footer and on the appropriate Master List.
- c. New official controlled documents are considered approved after input by affected stakeholders and final approval of the applicable area (i.e. President or designate for corporate documents and Program/Department Chair/Manager or designate for program/department documents).

Note: Program/Department Controlled Documents must not contradict or override an active corporate controlled document.

3. Review and Update as Necessary and Re-Approve Documents

- a. All company personnel can **informally** submit the following requests for both corporate or program/department controlled documents:
 - Minor keyboarding corrections
 - Grammatical errors
 - Formatting changes

Informal changes must not change the context of the controlled document. If the context or message is changed, a formal request must be submitted. Informal requests relating to a corporate controlled document must be forwarded to the Registrar's Office. Informal

requests relating to a specific program or department controlled document must be forwarded to the Program/Department Chair/Manager or designate. These changes do not require a formal process of approval and may be implemented informally at the discretion of the applicable document control area. A Document Modification/Creation form is not required.

Revision numbers must be updated to reflect that the document has changed. Informal revisions of this type will be recorded differently than other revision numbers to reflect that the document went through an informal change. For example, a document with the revision number of 2.0 would be changed to 2.1. If a formal change is made, the revision number would be changed to 3.0. This is how one can identify that the changes are minor and do not change the context of the document.

- b. All company personnel can **formally** submit the following requests for both corporate or program/department controlled documents:
- Modifications to current active controlled documents
 - The introduction of a new controlled document
 - The removal of a current active controlled document that is archived

Formal requests relating to a corporate controlled document must be forwarded to the Registrar's Office. Formal requests relating to a specific program or department controlled document must be forwarded to the Program/Department Chair/Manager or designate.

The steps for making a request are:

- i. Complete the 'Document Modification/Creation Form' (ADM-F046).
 - ii. Include a copy of the document to change, add, or archive.. This may be either a paper copy, or an electronic draft (where an electronic copy has been provided by the applicable document control area to allow for changes to be made electronically).
 - iii. Clearly and completely identify the change(s) requested on the document and clearly identify the purpose of the change(s). For requests to add or archive a document, clearly identify the reason for adding the new document, or the reasons why the document should be archived.
 - iv. Forward the document and 'Document Modification/Creation Form' to the appropriate approval authority for review. The approval authority will normally begin a review process that will seek input from other relevant stakeholders before a recommended change is approved.
 - v. Forward an electronic copy of the updated document to the appropriate document control area (Registrar's Office or Program/Department).
 - vi. Approved changes, additions or removals will be forwarded to the applicable document control area to process the changes and notify relevant stakeholders.
- c. The applicable Document Control area will follow an approved request by notifying relevant stakeholders of the approved changes.

4. Identify Revision Status

- a. Revision numbers and revision dates are updated on the electronic controlled documents and Master Lists.

5. Ensure Availability at Essential Locations

- a. Official Corporate Documents are located on the company network and the employee Intranet website. Hard copies are located in the Office of the Registrar's file room.
- b. It is the responsibility of the Program/Department Chair/Manager or designate to ensure that program/department controlled documents are located in an accessible location on the company network. They may choose to keep a hard copy of their controlled documents in a secure location.

6. Ensure Documents are Legible and Readily Identifiable

- a. Maintaining consistency in formatting is a valuable tool to help make documents legible and readily identifiable. In some cases (i.e. one page forms, college surveys), formatting guidelines may not be followed based on the layout and/or software used to generate the document. These cases aside, all corporate controlled documents are **generally** created using the following specific guidelines;
 - i Arial Regular, 11 point font.
 - ii Each document has a footer. The footer uses size 5 font and. contains the following information: Document Name, Document Number, Revision #, Revision Date, Approved by, Page #/Total Pages, statement advising the reader where procedures are located in order to recommend changes

Sample footer:

Document Name: Document Name Document Number: ADM-PO001 Revision #1	NOTE: Revisions to this document can be made following procedures outlined in Document #ADM-P014 – Document Control Policy and Procedures	Revision Date: Approved By: Page 1 of total pages
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- iii Top, left and right margins are all 1”
- iv Bottom margin is .3”
- v Documents are aligned left
- vi Title is bold, 14 point and centered
- vii First line in the title is centered and is titled Columbia College followed on the second line with the Document Name
- viii The title is not capitalized
- ix Automatic numbering and bullets are used
- x Clarification of terms statement is included on manuals, policies, procedures and position descriptions. (Note - It is normally not included on forms or surveys)

Note: Names attached to new documents may be edited by the Document Control Centre to maintain consistency on the Document Manager.

7. Documents of External Origin are identified and Their Distribution Controlled

- a. Documents of external origin that impact quality and cannot reasonably be included in the system will be maintained by the individual or group that uses these documents. These documents will be reviewed by the users on an annual basis to ensure that the most current issue is being used.
- b. Examples of external documents may include contractual agreements, legal obligations, and government regulations.

8. Prevention of Unintended Use of Archived Documents

- a. The **electronic form** is considered to be the most current version of all official documents. Printed copies of official corporate documents are considered non-controlled.
- b. The President or his designate are responsible to ensure that invalid or archived official documents are removed, destroyed or physically separated from all points of issue to prevent unintended utilization.
- c. When retained for legal or knowledge preservation purposes, archived official documents are separated from issue sources. These archived official documents are saved on a different drive on the network and are only accessible to the Document Control Center.