Title: Control of Documents		Control Number: SLD 5a	
Revision: 3.0	Effective Date: Jul. 22, 2009	Section: QMS	
Author: WESA	Reviewer: Operational Top Management		Approver: E. Wu

1.0 Purpose

The purpose of this procedure is to define the method for Document Control which includes the following:

- Document development
- Document review
- Document approval
- Document issuance
- Changes to Documents
- Identification and removal of obsolete documents
- Document Storage

2.0 Scope

This procedure is applicable to all QMS documentation (as identified in the Master Document List) and all personnel whose activities affect drinking-water quality.

Document Categories subject to the scope of this System Level Document:

- Operational Plan
- System Level Documents
- Templates
- Process Maps
- Standard Operating Procedures
- Work Instructions
- Blank Forms
- Documents of external origin (as specified in the Master Document List)

3.0 Definitions

- DRF: Document Request Form
- DCR: Document Change Request
- Operational Top Management: Waterworks General Manager, Manager of IMS, Manager of Infrastructure, Manager of System Engineering, Manager of Operations & Maintenance, Training Coordinator, QMS Controller

4.0 Procedure

Document Development

4.1 Any Waterworks staff may request that a document be created and included under the control of this procedure.

4.1.1 Staff shall obtain a DRF from the QMS Representative or from the on-line repository of QMS Forms.

4.1.2 The employee shall complete the form and submit to the QMS Representative.

4.2 The QMS Representative shall review the DRF. The purpose of the review is to ensure that the newly requested document:

- Does not already exist in the system, in whole or in part
- Adds value to the QMS.

If the requested document does not exist, go to: 4.3.

4.2.1 If the document already exists then the QMS Representative shall advise the employee of the title and location of the document.

4.2.2 If the document exists only in part, then the QMS representative shall determine if modifications to the existing document would add value to the QMS.

4.3 The QMS Representative shall determine if the requested documentation adds value to the QMS. In making this determination, the QMS Representative may at his/her discretion, seek input from other sources.

4.3.1 If it is determined that the requested document does not add value to the QMS then the QMS Representative shall document the rationale for rejecting the request per the DRF and return a copy of the DRF to the originator.

4.3.2 If the requested document is to be developed and added to the QMS, then the QMS Representative shall approve the DRF.

4.3.3 The completed DRF shall be filed and retained by the QMS Representative.

4.3.3.1 The Master Document List shall be updated identifying the new document by control number, name, and revision 0.0 to indicate the draft status.

4.4 The document originator shall select the appropriate document template and then, using that template, produce a draft document as per the requirements identified in the DRF.

Document Review, Approval and Issuance

4.5 A copy of the draft document shall be placed in the “Pending Approval Folder” by the document originator, or by the QMS

Representative if the draft document was submitted electronically with the DRF to the QMS Representative.

4.6 The QMS Representative shall conduct an initial review to confirm all spelling, grammar and format, as well as to ensure that all required portions of the document template have been completed by the originator. If the document is acceptable as submitted, then go to 4.6.2.

4.6.1 The Draft Document shall be amended by the QMS Representative for any errors or omissions found from the initial review.

4.6.2 Draft document that meet the requirements of the initial review shall be submitted by the QMS Representative to the appropriate Reviewer(s) for review as per the SOP – Controlled Document Approval.

4.7 The Reviewer(s) shall review the submitted draft procedure and make one of the following recommendations:

- Accept as is, or
- Return it to the QMS Representative to address identified concerns.

4.7.1 If the document is “Accepted as is”, the Reviewer(s) shall inform the QMS Representative indicating it has been accepted, then go to 4.9.

4.7.2 Concerns shall be annotated using the “Track Changes” function in the Word Processor, or in hard copy.

4.7.3 The annotated document shall be forwarded to the QMS Representative.

4.7.3.1 The QMS Representative shall revise the draft document as per comments received from the Reviewer(s).

4.7.3.2 The QMS Representative shall advise the originator comments received by the Reviewer(s).

4.8 The QMS Representative shall approve the new document and update the Master Document List to show the document is now approved and controlled.

4.9 The QMS Representative shall move the new document from the “Pending Approval Folder” to the “Controlled Document Folder”. Operational Top Management shall be advised that a new document has been added to the QMS.

4.10 For Operational Plan and System Level Documents, endorsement from the Owner will be required after any major revision (such as change of process). For any lower level documents, approvals can be obtained by Operational Top Management.

4.11 The first issue of each controlled document is revision 1.0, and will be added by 1.0 after each revision.

Changes to Documents

4.12 All changes to documents shall be made through the use of the Document Change Request (DCR).

4.13 Any Waterworks staff may request a change to an existing document by completing a DCR.

- 4.13.1 The DCR shall be submitted to the QMS Representative to determine if the change requested is necessary.
- 4.13.2 The QMS Representative shall review the validity of the change requested and make the determination if the change is required.
  - 4.13.2.1 If the change is required, go to 4.13.3
  - 4.13.2.2 If the change is deemed to be unnecessary, the originator shall be advised that no change to the subject document shall be made at this time and the reason behind the rejection.
- 4.13.3 The QMS Representative shall change the document, following steps 4.5 through 4.8 inclusively.
- 4.13.4 The changed document shall be placed in the QMS Master Document Folder.
  - 4.13.4.1 The obsolete copy shall be removed from both locations and destroyed.
  - 4.13.4.2 The Master Document List shall be updated showing the new revision level of the changed document.

4.14 The QMS Representative shall advise Operational Top Management, that a document change has been made. The completed DCR shall be filed by the QMS Representative, together with any supporting documents for the requested change.

4.15 Any minor change that does not affect the content of the controlled document (i.e. format, reference, etc.) will be completed by the QMS Representative, and new revision will not be issued until a major change is required, but the changes will be recorded.

Documents Control

4.16 Master copies of all controlled documents are maintained electronically by the QMS Representative. These documents are available online for view only access. Any changes to any controlled document must be requested via the Changes to Documents process (4.12 to 4.15).

4.17 The electronic master copies are controlled by the QMS Representative to ensure the documents are up-to-date and at the latest revisions. Any printed copy of any controlled document will become uncontrolled and is not controlled under this process.

4.18 Staff shall always refer to the online copy as the current revision of each controlled document. Any printed copy shall be verified with

the online copy prior to be in use, in order to ensure the printed copy still valid.

4.19 QMS Representative can issue controlled hard copy of any controlled document when deemed necessary. Such hard copy will be identified as Controlled Document, and will be controlled as such. Any hard copy controlled document will be listed on the Master Document List.

Annual Documents Review

4.20 To ensure all controlled documents are up-to-date, each document will undergo an annual review.

4.21 The QMS Representative will keep track of the issue date of each controlled document. Upon the anniversary of each controlled document, the QMS Representative will coordinate the review of such controlled document with the original author, or the Section Manager of the belonging controlled document.

4.22 If the controlled document is required to be updated to reflect the current practice, proper Document Change to procedure must be followed (4.12 to 4.15).

4.23 If no change is required, the reviewer will advise the QMS Representative and the review date will be recorded on the Master List of Controlled Document to indicate such controlled document has been reviewed.

Obsolete Documents

4.24 The QMS Representative shall ensure that all obsolete documents shall be removed from all point of issue not later than 4 weeks after the issuance of an updated version, or, after having been identified during the course of an internal or external audit.

4.25 Minimum retention requirements for obsolete documents are shown in the table below, not including records. Retention of documents beyond the requirements listed in the table is at the discretion of the QMS Representative.

Document	Minimum Retention
Operational Plan	At least the previous revision level, retained indefinitely
System Level Document	At least the previous revision level, retained indefinitely
Template	No retention of obsolete template required
Process Map	At least the previous revision level, retained indefinitely
Standard Operating Procedure	At least the previous revision level, retained indefinitely

Work Instruction	At least the previous revision level, retained indefinitely
Blank Form	No retention of obsolete template required
Document of External Origin	At least the previous revision level, retained indefinitely
Other	At the discretion of the QMS Representative

4.25.1 Obsolete documents shall be clearly marked as being "Obsolete".
4.25.2 All obsolete documents shall be retained in the "Obsolete Documents Folder" that is maintained by the QMS Representative. Access to this folder shall be restricted to the QMS Representative and/or his/her designate, as appropriate.
4.25.3 Obsolete documents not being retained shall be destroyed by the QMS Representative or designate.

Network Back-Up of QMS Folder

4.26 The Corporate ITS Department shall ensure the network QMS folder is backed-up.
4.26.1 Tape backups of all servers shall be performed every weekday evening.
4.26.2 Backup software shall be utilized when applicable.
4.26.3 Tapes shall be rotated bi-weekly, with an appropriate number of tapes allocated for backups.
4.26.4 Tapes shall be stored in the ITS fireproof safe.
4.26.5 Data restores from tape shall be tested quarterly by ITS personnel.

5.0 Associated SOPs

- SOP – Controlled Document Approval

6.0 References

- DWQMS Element 5 Document and Records Control
- Legislative references as outlined in Section 5.0

7.0 Records

- Completed Document Request Forms
- Completed Document Change Request Forms

8.0 History of Changes

Revision	Date	Description	By
2.0	Aug. 8, 2008	Additions 4.11, 4.12, 4.16, 4.17 to 4.24; Realign referencing paragraph numbers; Sections 4.7.1.1 & 4.8.2.	E. Wu
3.0	Jul. 7, 2009	Sections 2.0, 4.0, 5.0	E. Wu