

	Ballantrae/Musselman's Lake and Stouffville Water Distribution Systems	Procedure No.: QMS-SYS-05
	Operational Plan Quality Management System Procedure	Page 1 of 4
	Procedure Title: Document and Records Control	Revision No.: 2
	Approved By: Top Management	Approval Date: February 22, 2018

1.0 Purpose

To describe the procedure for ensuring the Town of Whitchurch-Stouffville's documents and records associated with the QMS are kept current legible, readily identifiable, retrievable, stored, protected, retained and disposed of in an appropriate manner.

2.0 Scope

This procedure applies to the management of all Quality Management System Documents, records and forms.

3.0 Responsibility

All staff in the Town of Whitchurch-Stouffville

4.0 Procedure**4.1 General Information**

The documents and records contained within the Document Control Table, located in QMS-APP-05-01 and the Record Control Table, located in QMS-APP-05-02, are identified as documents and records applicable to this Quality Management System.

The Document Control Table and the Record Control Table ensures controlled document and record locations are identified and accessible to staff, internal auditors and external auditors. Controlled document and record locations are designated to allow authorized access and to prevent damage, deterioration, loss and ensure use of current documents and records.

It is the responsibility of the user to ensure that only controlled documents are used. Copies of documents located outside of designated control locations are considered uncontrolled documents and are the responsibility of the user to replace and dispose of in an appropriate manner.

4.2 Document and Form Creation

To ensure legibility, documents and forms for use within the Operating Authority are created electronically in Microsoft Word or Excel. These documents are then converted to a format that cannot be modified by the user (Portable Document Format (PDF)).

The document title, Town logo and revision date are in the title block the System Procedures, Appendices, Standard Operating Procedures and Emergency Procedures. Page X of X are in the header on all pages. Revision number and approval date of the document is in the footer on all pages.

All documents and forms created are password protected to ensure editing is made only by authorized staff. The latest version of documents and forms can be viewed, printed, and electronically transmitted. If a document is printed from a read-only or PDF file, then the document is considered uncontrolled and not subject to revision.

File storage of digital and hard copy files shall follow the Town's approved TOMRMS system.

Review and approval authorities are outlined in the Document Control Table.

4.3 Annual Document Review

All documents outlined in the Document Control Table undergo an annual review by the QMS Representative or designate for any changes required by new legislation and/or operational practices. Scheduling of the document review is outlined in QMS-APP-01-01 - QMS Activity Schedule.

4.4 Record Creation and Storage

The following information applies to manual records:

- The record body is legible, written in ink only and used to record data information;
- The name of the recorder, date and the time (if appropriate) when the record is created;
- The storage locations identified in the Record Control Table are designated for record storage and all hard copy records are kept in filing cabinets or approved filing boxes. File storage of digital and hard copy files shall follow the Town's approved TOMRMS system;
- Manual records are filed in a timely matter in the appropriate location. These records are kept in accordance with the record retention times outlined in the Record Control Table;
- Records are to be readily available and retrievable within one (1) business day of being requested.

All staff are responsible for ensuring that documents and records remain legible and readily identifiable.

4.5 Updates and Revisions

If an employee has a suggestion to modify an existing or create a new document or form, the QMS Representative is notified by means of an email or completing QMS-FRM-19-02 - Corrective Action/Opportunity for Improvement Request. with a draft copy of the change/new document or a brief description of the suggestion. The need for new or updated documents or forms may also be identified through the Management Review or system audits.

The QMS Representative reviews all suggestions and proposed revision(s) to the QMS with the employee who submits QMS-FRM-19-02 - Corrective Action/Opportunity for Improvement Request.

The One member of Top Management approves changes to the Operational Plan and Appendices, the QMS Representative approves all changes to the Standard Operating & Emergency Procedures and QMS Forms.

Any new or updated documents or forms are communicated to staff as outlined in the QMS Communications Procedure, located in QMS-SYS-12 – Communications.

4.6 Retention

Retention of obsolete digital copies of the Operational Plan, Emergency Procedures, and Standard Operating Procedures are retained in accordance with the minimum requirements for Operational Plans (10 years). Any other QMS documents (digital or paper) are retained in accordance with the current Town of Whitchurch-Stouffville Record Retention By-Law (2009-154-RE, as amended). Refer to the QMS-APP-05-01 – Document Control Table for the location of this document.

Electronic records are only kept on the Town of Whitchurch-Stouffville’s network servers. Servers are routinely backed up as per corporate policy and the requirements of the record retention policy.

Minimum retention times for all Records and Ministry of the Environment and Climate Change (MOECC) required records shall be maintained as outlined in the applicable regulations. Retention times are also outlined in the Records Control Table and the Town of Whitchurch-Stouffville Record Retention By-Law. If any discrepancies exist between the MOECC regulations and the Records Control Table or By-Law, the MOECC regulation shall govern. Documents and records are reviewed for evidence of control during each internal system audit, outlined in system procedure QMS-SYS-19 – Internal Audits.

4.7 Disposal of Obsolete Documents and Records

The QMS Representative or designate collects and replaces the controlled copies of QMS documents or QMS forms. A memorandum is circulated to staff advising of any document or form changes. It is the responsibility of staff to replace any uncontrolled copies and destroy obsolete copies.

Obsolete digital copies of QMS documents or QMS forms outlined in QMS-APP-05-01 – Document Control Table and QMS-APP-05-02 – Record Control Table are to be deleted after the retention requirements have been met.

The obsolete QMS document or QMS Form is renamed to “OBSOLETE (QMS document/QMS form name) DATE” (i.e. OBSOLETE QMS-SYS-05 – Document and Records Control January 2 2018.docx).

The QMS Representative or designate is responsible for moving the “OBSOLETE (QMS document/QMS form name) DATE” file to the applicable Archive folder in S:\ENVIRONMENTAL SERVICES - EVE08 Water Works.

Obsolete paper copies of QMS documents or QMS forms outlined in QMS-APP-05-01 – Document Control Table and QMS-APP-05-02 – Record Control Table are to be disposed of in an appropriate manner (recycling, shredding etc).

5.0 References

QMS-SYS-12 – Communications
QMS-SYS-19 – Internal Audits

6.0 Appendices

QMS-APP-01-01 - QMS Activity Schedule
QMS-APP-05-01 – Document Control Table
QMS-APP-05-02 – Records Control Table

7.0 Forms

QMS-FRM-05-01– Document Change Request
QMS-FRM-19-02 - Corrective Action/Opportunity for Improvement Request.

Document Change History

Revision Number	Date	Change	Revision Made By:
2	February 22, 2018, 2018	Annual QMS Document Review	Peter W