

9 ways to improve policy & procedure management.

*Document Control Software
for Policies and Procedures*

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About ColumbiaSoft Document Locator

Policy and Procedure Management

Policies and procedures represent the underpinning of an orderly, efficient, and regulatory-compliant business. Although important across many areas of business, they are imperative when regulatory controls and compliance are a concern.

The complexities of managing policies and procedures have long burdened business managers. Oversight, change, communication, and the many other operational tasks involved with policy and procedure management are made even more complicated by the need to record every action, save every amendment, and inform every stakeholder and person affected. When managing this process manually using paper files, shared folders, and email, the chaos of a fluid situation can quickly swamp all efforts of maintaining control.

Electronic document control replaces manual tasks with automated actions. Everything is managed electronically in a controlled system governed by security. This simplifies program administration, and allows more time for insightful policy management while minimizing time spent on paperwork.

Electronic Document Control

**Centralize policies and procedures**

Policies and procedures are managed in a controlled information management system.

**Correlate with objectives**

Associate policies and procedures with regulatory requirements, policies, and corporate objectives.

**Record and Communicate**

Notify and record acceptance of policy and procedure actions and changes.

**Control supporting information**

Manage supporting documentation including test results and certifications.

**Manage Exceptions**

Automate exception procedures with workflow and notifications.

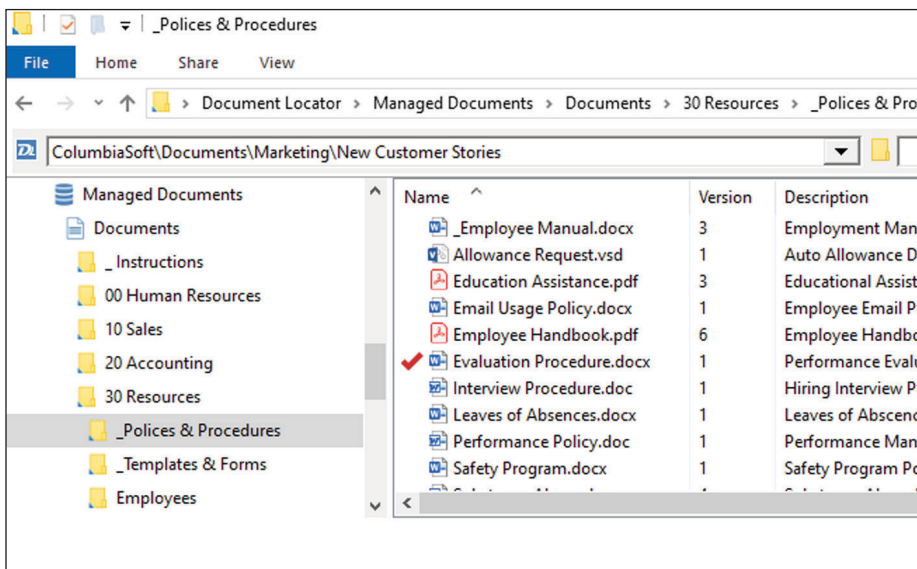
**Report**

Use reporting tools to roll up oversight and ensure compliance.

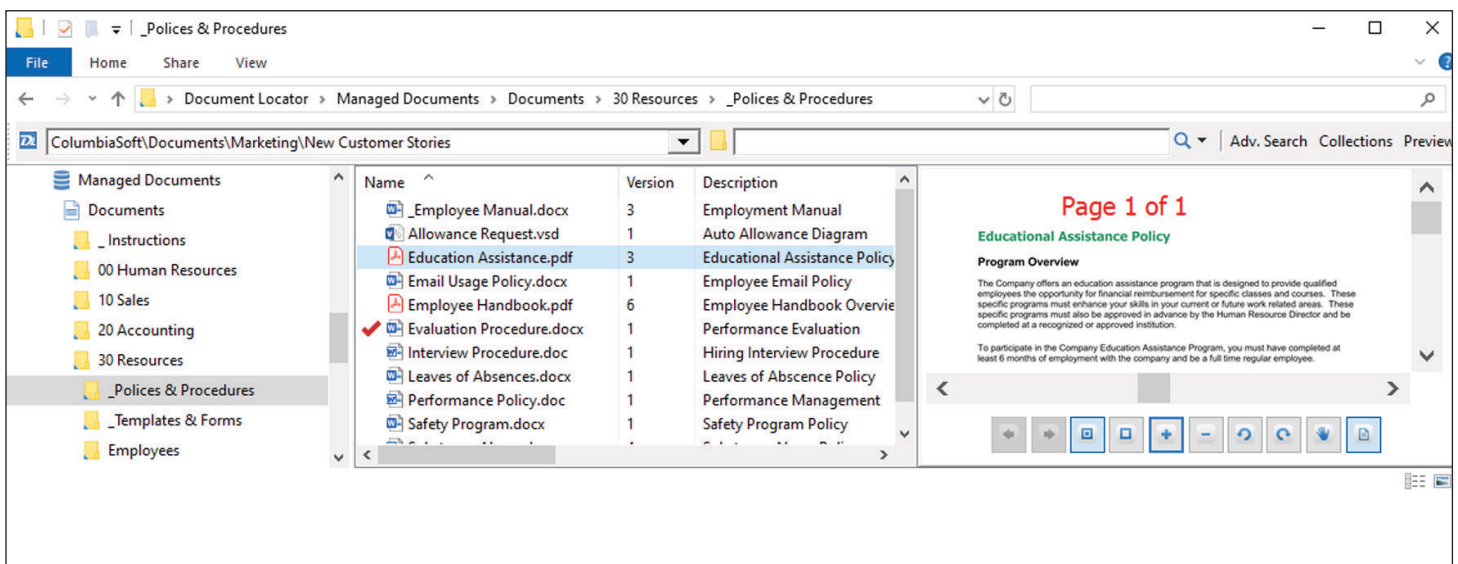
1 Getting it right, from the start.

■ Templates bring uniformity and consistency to policies and procedures.

Creating templates in Document Locator establishes consistency with policies and procedures right from the start. Existing policies and procedures are easily imported into the system as well. Document Locator provides security, version control, views, status, approvals, auditing, and overall document control throughout the entire lifecycle of policies and procedures.



Microsoft Windows integration makes Document Locator easy to use.



2. A secure environment. Manage and control access with intelligent security.

Managers of policy and procedure programs use built-in security tools based on the familiar Microsoft NT security model to maintain program integrity. Fully customizable role-based security establishes privileges for each person, and limits access or ability to affect changes as necessary.

Authors and editors are granted rights to create and edit document versions through managed check-in/check-out procedures. Editors can also review, edit, compare, promote, and secure document versions from a version history view.

The screenshot displays the Document Control software interface. The main window shows a file list with columns: Name, Version, Title, Revision Level, Change Control No, Date Effective, and Revision Author. The file list includes documents like QSR-0000100.docx, QSR-0000101.docx, QSR-0000102.docx, QSR-0000103.docx, QSR-0000104.docx, QSR-0000105.pdf, and QSR-0000106.docx.

A version history window is open for the file QSR-0000100.docx, showing a detailed list of versions with columns: FileName, VersionID, Revision Level, Date Effective, Revision Author, Change Control No, and Version Notes. The version history shows 23 files, with the most recent version being 23, dated 2013-04-19 00:00:00, revision level B, authored by rday, and change control no DCR-0000109.

All prior versions are retained in the system.

Version history also tracks Revision Levels.

3 Facts about the files.

Create a smart catalogue with metadata values.

Metadata are the descriptive values that define characteristics of files and make them easier to locate and correlate. Fully-customizable, these values conform to regulatory and policy needs. Free-form text, dates, numbers, drop-down lists... all property value types are possible. Even nested dynamic properties, and dynamic list values associated with external database tables are possible.

BEST Company		Policy/Procedure	
Title:	Document Control	Doc No:	QPR-00001
Type:	Quality Systems Procedure	Version:	6
Author:	Sheila Ramerman	Release Status:	Production

Header - Section 1-

1.0 Purposes

To establish a consistent process for the creation, review, approval, distribution, revision, and maintenance of Quality System documents.

2.0 Scope

Applies to all Quality System documents required per 21 CFR 820, Quality System Regulations.

3.0 References

ESS-00007 Electronic Records

21 CFR 820.40 FDA Quality System

21 CFR 11 Electronic Records

4.0 Responsibility

All Employees Responsible for use of System documents

Originator Responsible for control of Engineering Change Review Board will be

Document Control Responsible for all

QPR-00001.doc - Set Document Profile

Document Profile:
QPR

Property

Value

Required

Release Status

Production

Release Prefix

PRO

Item Type

Regulatory-Quality

Document Type

Quality Systems Procedure

Prefix

QPR

QPR Doc #

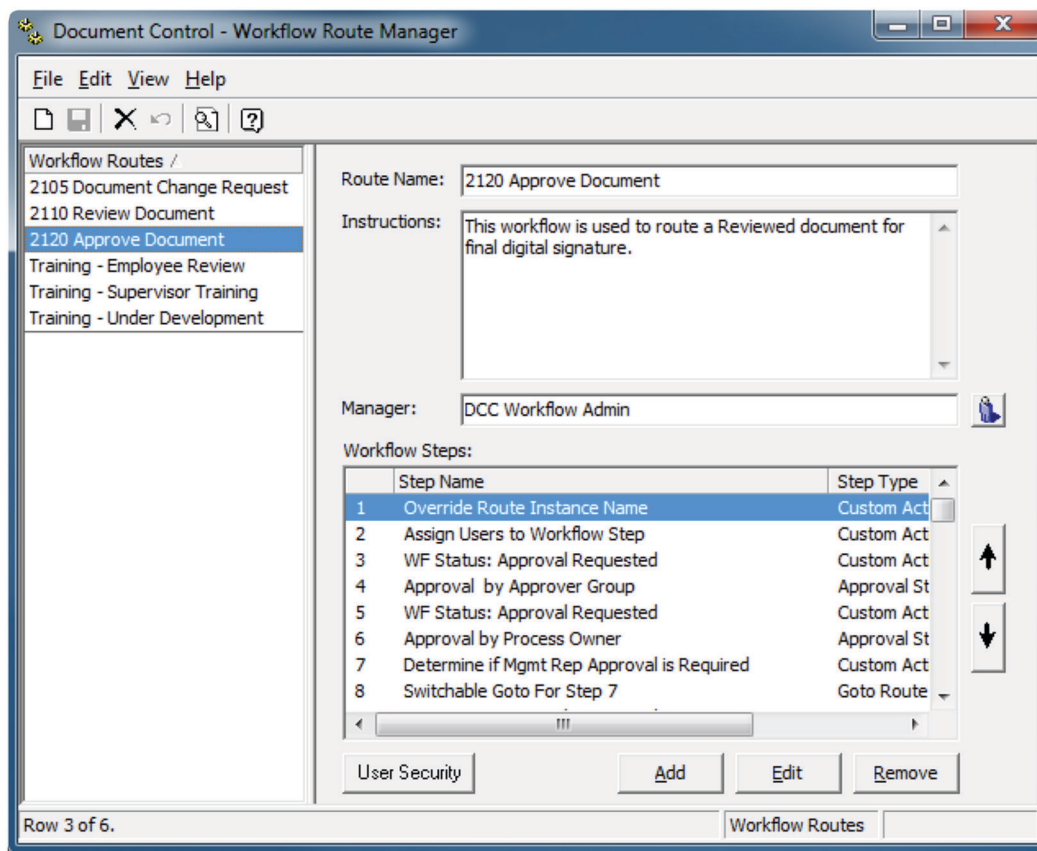
QPR-00001

Profiling documents with metadata values organizes and correlates information.

4. Automate, everything.

File naming is one of many ways automation reduces errors.

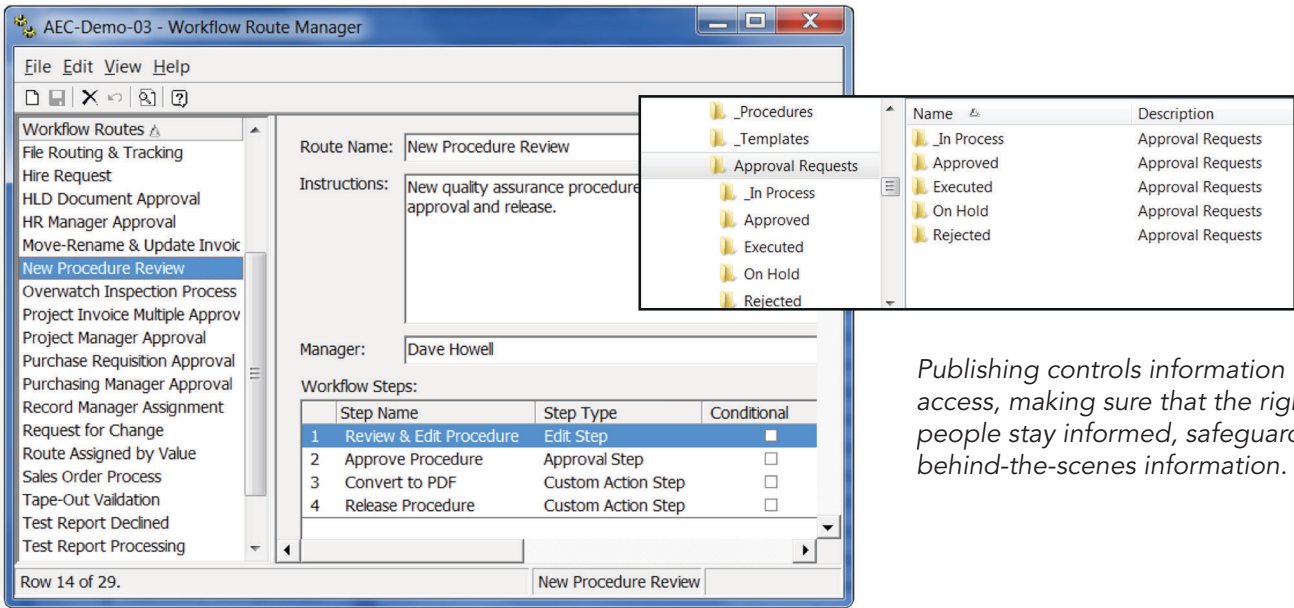
Automating any business procedure is a sure way to increase efficiency and reduce the risk of error. For instance, the use of document properties (metadata values discussed in #3) to determine file naming is one automation procedure that eliminates chaotic, manual naming practices. In another example, in quality, quality procedures can automatically acquire the next available QCP number and append that value to the document's name.



Electronic workflow automates notifications, routing, review procedures, and approval steps for policies and procedures in Document Locator.

5. Keep people informed. Publishing and notifications spread the word.

Final approved policies and procedures are secured and published for people with read-only access. Prior versions and work-in-progress remains safeguarded against unauthorized access. Final documents are locked and branded with an approved indicator. PDF conversion offers additional security options. Notifications inform people as needed, for example when new procedures are approved.



Publishing controls information access, making sure that the right people stay informed, safeguarding behind-the-scenes information.

6 Find the document, fast.

■ Full-text searching streamlines document retrieval.

Full-text searching on the content of documents is a significant advantage over paper-based or non-searchable electronic files. Even legacy documents originating on paper can be scanned and made full-text searchable.

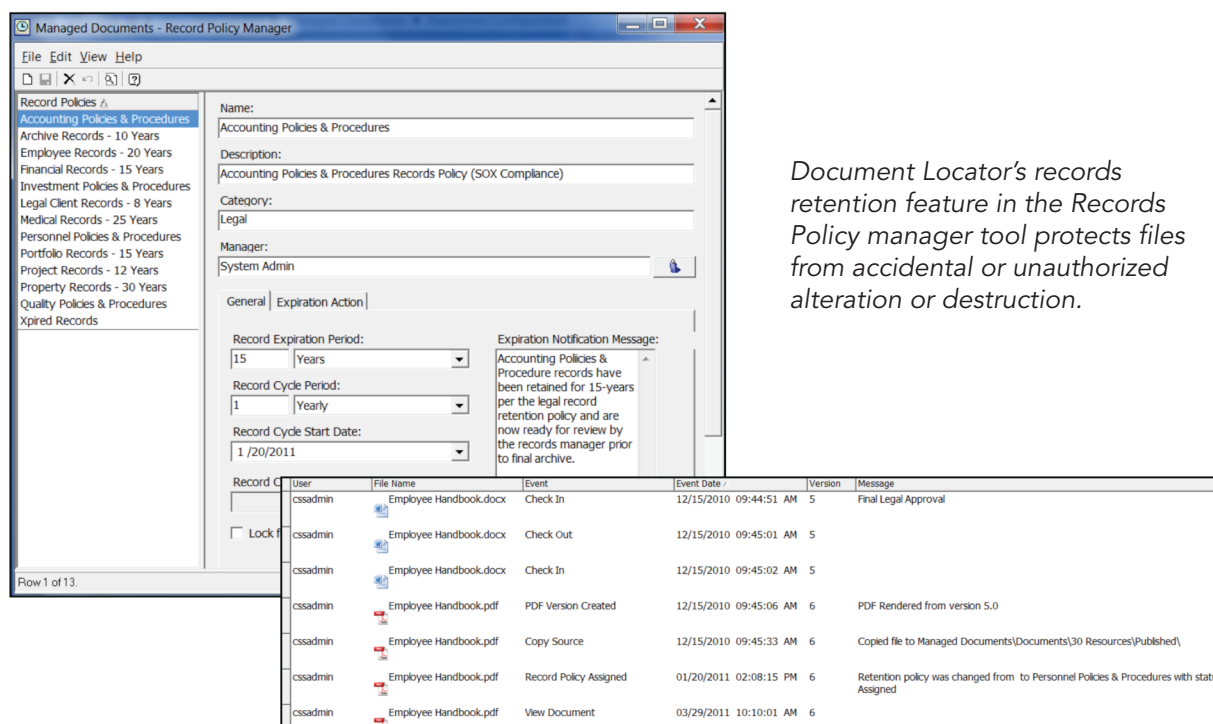
Search on any selection of metadata value to narrow down results and find information even faster. Search criteria can include everything from profile property information to document version number. Document searches are fast and results are returned instantly.

The screenshot shows the 'Locator Search Bar' window. It includes a menu bar with 'New', 'Open', 'Save', and 'Search'. Below the menu, there is a 'Repository Path to Search:' field with the value 'Managed Documents\Documents\'. The main search area is divided into several sections: 'All or part of the file name:' with a text box containing '.pdf' and a 'Like' dropdown; 'Words or phrase in the file:' with a text box containing 'compensation' and an 'All' dropdown; 'Profile:' with a dropdown menu set to 'Departmental Files'; a table with columns 'Property', 'Operator', and 'Value(s)' containing 'Department = Human Resources' and 'Document Type = Policy'; 'Search On File Dates' with a dropdown; 'Document Notes' with a dropdown; 'User File Activity' with a dropdown; 'Record Management' with a dropdown; 'Search on Size' with a dropdown; 'Workflow Information' with a dropdown; and a 'Route Name:' field with the value 'Release Approval'.

Advanced search features make it a breeze to find any file, instantly. Custom searches can also be saved and shared with others so they are easily re-used.

7 Define and manage records policies. Enforce records management and retention policies according to the needs of your company.

Records policy management minimizes risk in everything from regulatory compliance, to legal actions, to e-discovery. Policies enforce the necessary procedures for capture, identification, storage, and disposition of files according to business requirements.



The screenshot displays the 'Managed Documents - Record Policy Manager' application. The left sidebar lists various record policies, including 'Accounting Policies & Procedures', 'Archive Records - 10 Years', 'Employee Records - 20 Years', 'Financial Records - 15 Years', 'Investment Policies & Procedures', 'Legal Client Records - 8 Years', 'Medical Records - 25 Years', 'Personnel Policies & Procedures', 'Portfolio Records - 15 Years', 'Project Records - 12 Years', 'Property Records - 30 Years', 'Quality Policies & Procedures', and 'Expired Records'. The main window shows the configuration for the 'Accounting Policies & Procedures' policy, with fields for Name, Description, Category, Manager, and Expiration Action. The 'Expiration Action' tab is selected, showing a 'Record Expiration Period' of 15 Years, a 'Record Cycle Period' of 1 Yearly, and a 'Record Cycle Start Date' of 1/20/2011. An 'Expiration Notification Message' is also displayed. Below the configuration fields is a table showing a log of events for the 'Employee Handbook.docx' and 'Employee Handbook.pdf' files.

Record	User	File Name	Event	Event Date	Version	Message
	cssadmin	Employee Handbook.docx	Check In	12/15/2010 09:44:51 AM	5	Final Legal Approval
	cssadmin	Employee Handbook.docx	Check Out	12/15/2010 09:45:01 AM	5	
	cssadmin	Employee Handbook.docx	Check In	12/15/2010 09:45:02 AM	5	
	cssadmin	Employee Handbook.pdf	PDF Version Created	12/15/2010 09:45:06 AM	6	PDF Rendered from version 5.0
	cssadmin	Employee Handbook.pdf	Copy Source	12/15/2010 09:45:33 AM	6	Copied file to Managed Documents\Documents\30 Resources\Published\
	cssadmin	Employee Handbook.pdf	Record Policy Assigned	01/20/2011 02:08:15 PM	6	Retention policy was changed from to Personnel Policies & Procedures with statu Assigned
	cssadmin	Employee Handbook.pdf	View Document	03/29/2011 10:10:01 AM	6	

Document Locator's records retention feature in the Records Policy manager tool protects files from accidental or unauthorized alteration or destruction.

8

Report on the facts. Accountability and proof of compliance benefit with accurate reporting

Reporting provides a worry-free way for managers to validate compliance and improve the efficiency of policy and procedure programs. For instance, by measuring policy acceptance, reports can validate compliance with standards and regulations. Reports can also track review and approval cycles for policies and procedures that are under development or in revision, simplifying the management of program administration.

Document Change Control - 2100-00

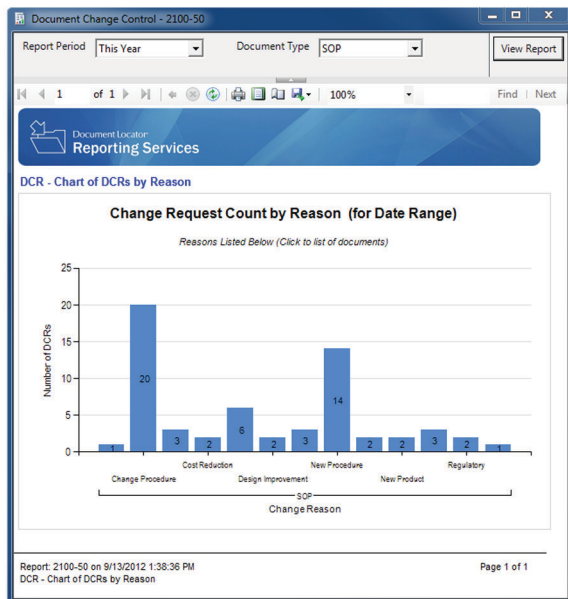
Route Type: All | Workflow Status: All | Revision Author: Select Author | Document Type: Document Type | Report Period: This Year | File Name: | View Report

Document Locator
Reporting Services

DCR - Review / Approve Document Workflow Comments

File Name	Start Date	Revision Author	Route Name	Step Name	Comments	User	Date
GSR-0100	6/1/2012	Steve_GA_Eng2	2110 Review Document	Step 07 - Pause to break the chain for Rev Author	Looks good one small typo in section 3.2.2	John GA_Eng1	06/01/2012
			2110 Review Document	Step 07 - Pause to break the chain for Rev Author	I am the author of this GSR	Steve GA_Eng2	06/01/2012
			2110 Review Document	Step 07 - Pause to break the chain for Rev Author	Looks good Susan GA_Mgr	Susan GA_Mgr	06/01/2012
			2110 Review Document	Step 07 - Pause to break the chain for Rev Author	Looks good to me, Ann	Ann DCManager	06/01/2012
			2110 Review Document	Step 06 - Parallel Review of Document	Review is complete. Type B section 3.2.2 has been corrected	Steve GA_Eng2	06/01/2012
			2110 Review Document	Step 09 - Is the Review of This Document Complete?	GSR-0100 is ready to have the effective date set	Liz DCoordinator	06/01/2012
			2110 Review Document	Step 15 - Set Revision Effective Date	Set the effective date to 6/4/2012 and updating the Revision Table accordingly	Liz DCoordinator	06/01/2012
			2110 Review Document	Step 17 - Data Effective not set	The notify user step completed.	System Admin	06/01/2012
			2120 Approve Document	Step 07 - Parallel Approval of Document	Approved and signed as John GA_Eng1	John GA_Eng1	06/01/2012
			2120 Approve Document	Step 07 - Parallel Approval of Document	Approved and signed as Steve GA_Eng2	Steve GA_Eng2	06/01/2012
			2120 Approve Document	Step 07 - Parallel Approval of Document	Approved and signed as Susan GA_Mgr	Susan GA_Mgr	06/01/2012
			2120 Approve Document	Step 07 - Parallel Approval of Document	Approved and signed as Ann DCManager	Ann DCManager	06/01/2012
			2120 Approve Document	Step 15 - Publish to Released Documents Folder	The notify user step completed.	System Admin	06/01/2012

Over 25 standard reports are included in Document Locator covering metrics, workflow details, and other program intelligence. Custom reports are also possible, and are configured using Microsoft SQL Server Reporting technology.



9. Track acknowledgement. Capture a record of receipt and acknowledgement

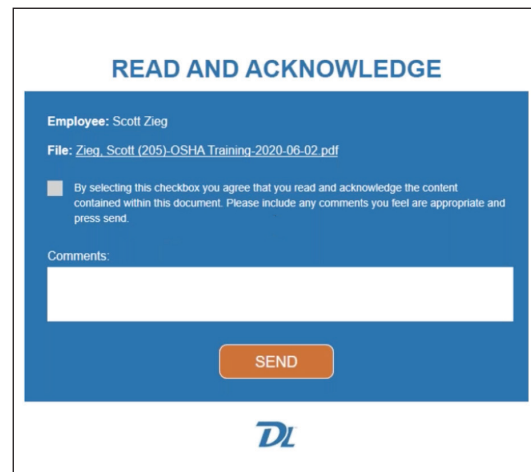
Capture a record that policies, procedures, SOPs, manuals and other important documents have been received and read by employees. Policy managers can distribute files to groups of employees or the entire organization.

Required Reading

Send policies as “required reading” for a select group of employees or the entire organization. When a new document is published, a workflow is created that sends out a notification to individuals that they are required to read the document. After reading the document they must then click a checkbox to indicate that they have completed the task. The workflow will decline the task if the user has not, at the very least, opened and viewed the document.

Read and Acknowledge

When a new policy is published, a workflow is created that sends out a notification informing individuals that they are required to read the document. After reading the document they must then click a checkbox to indicate that they have completed the task. With Read and Acknowledge, a new document is created with a signed digital signature page and stored in the employee’s personal folder.



The screenshot shows a web form titled "READ AND ACKNOWLEDGE" with a blue header. Below the header, the form contains the following elements: "Employee: Scott Zieg", "File: Zieg, Scott (205)-OSHA Training-2020-06-02.pdf", a checkbox with the text "By selecting this checkbox you agree that you read and acknowledge the content contained within this document. Please include any comments you feel are appropriate and press send.", a "Comments:" label above a text input field, an orange "SEND" button, and the Document Locator logo at the bottom.



About ColumbiaSoft Document Locator

Information managers use Document Locator software to control and share paper and electronic documents, e-mail, faxes, and other electronic files with accuracy and precision. The software reduces costs, increases productivity, and automates business processes, while helping to ensure continued compliance with regulations and policies. ColumbiaSoft is a Microsoft Partner and an Adobe Solutions Network developer. Our products are fully integrated into popular applications such as Microsoft Windows, Office, Outlook, SharePoint, Adobe Acrobat, AutoCAD, and more. Founded in 1998, ColumbiaSoft is headquartered in Portland, Oregon. For more information, visit www.DocumentLocator.com.

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