



# COMMON MANAGEMENT SYSTEM STANDARD 8 DOCUMENT CONTROL, RECORDS AND DATA MANAGEMENT

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## 1. OVERVIEW

This document sets out IGOs standard for document control and critical record and data management.

## 2. APPLICATION

This standard applies to all IGO employees and to all documents produced within IGO.

## 3. CONTROLLED DOCUMENTS

IGO generates many documents. All documents are either: 'controlled documents' or 'uncontrolled documents'.

Controlled documents are typically those documents that define standard business processes or are official records. All controlled documents are captured and managed in the IGO Document Management System (DMS) (see Appendix 1) which is located on the IGO Intranet.

The function of the DMS and related business processes is to ensure that:

- documents are approved for adequacy prior to issue
- documents are reviewed, updated as necessary, and re-approved prior to reissue
- effective change management occurs including that changes and the current revision status of documents are identified, and that there is communication to make people aware of updated/revised documents
- approved versions of applicable documents are available at points of use
- documents remain legible and readily identifiable
- documents of external (third party) origin that are necessary for the effective planning and operation of the IGO Management System are identified and their distribution is controlled
- superseded and obsolete documents are prevented from unintended use and, if retained for any purpose, they are suitably identified
- controlled documents are listed in the electronic document register (IGOs on-line DMS). Relevant documents are accessible to personnel via the intranet or in other controlled electronic or hard copy format as required.

Specific responsibility for the control, maintenance, and distribution of documents is assigned to an appointed document controller(s).

Where required, IGO sites are responsible for ensuring hard copy document access points are identified and a distribution list of each document is recorded and maintained. It should be noted that all documents printed from the DMS, once in hard copy or sourced from a location other than the DMS, are to be treated as uncontrolled documents.

## 4. CONTROL OF RECORDS

Records are established and maintained as necessary to demonstrate conformity to the requirements of the IGO Management System and associated policies and standards, and the results achieved. Records contain the appropriate data and information to demonstrate conformance to the measuring and monitoring requirements of IGO standards. Specifically:

- records must be, and must remain, accurate, legible, identifiable and traceable
- systems and procedures are established, implemented and maintained that specify and support the requirements for records. These requirements include the identification, storage and archiving, and protection of records (the process specifically includes the identification and management of critical records)
- retention periods for all critical records are established and documented and at a minimum meet all legal and regulatory requirements.

IGO businesses and sites in closure, care and maintenance, or under divestment, must implement processes for the management and retention of relevant records for future reference.

## 5. CONTROL OF DATA

IGOs processes and systems generate large volumes of data. IGO will establish protocols and physical arrangements to protect data regarded as 'business critical'.

## 6. CONFIDENTIALITY/PRIVACY

The confidentiality and security of documents, data and records is maintained relative to their source and in accordance with any applicable data/privacy protection legislation.

## 7. MANAGEMENT SYSTEM DOCUMENTATION

The core elements of the IGO Management System are documented. They define IGOs minimum requirements in respect to risk management and governance. The IGO Management System documentation includes:

- a description of the scope, application and structure of the IGO Management System and the hierarchy of the IGO document management system documentation (refer to **IGO Common Management System Standard 1 - Policy, Leadership and Commitment**)
- related documents including policies, standards and procedures
- a description of the main elements of the IGO Management System documentation, their interaction and reference to related documents
- documents determined to be necessary to ensure the effective planning and control of processes that relate to the management of performance
- other information including objectives, plans, other documents (such as supporting templates (see Appendix 2), forms and checklists) and records
- IGO maintains the following documents to describe the minimum requirements and the processes and responsibilities for managing activities that have significant risks:
  - IGO policies, standards, procedures and guidelines that apply company-wide
  - location/site/activity specific procedures, plan and practices.

## 8. IGO STANDARDS

IGO has two types of standards:

- IGOs Common Management System Standards document the minimum universal requirements and controls required to manage the activities that are considered to



have potential significant risks and/ or impacts as identified in the **Corporate Risk Register (INX)**

- IGO Functional Standards, which relate to specific functions: e.g. Safety, Human Resources, Purchasing etc.

All IGO activities must be completed in conformance to IGO standards.

IGOs standards are reviewed at least every three years and, where required, are revised and reissued.

## **9. RELEVANT DOCUMENTS**

- IGO Common Management System Standard 1 - Policy, Leadership and Commitment
- Corporate Risk Register



## APPENDIX 1: IGO DOCUMENT MANAGEMENT SYSTEM

The IGO Document Management System (DMS) is used to manage 'controlled documents'. A controlled document is a reference document, which, through the course of its lifecycle may be reviewed, modified and distributed several times.

At IGO, the following documents are always controlled documents:

- Policies
- Common Management System Standards
- Function Standards
- Management Plans
- Safe Work Procedures

Users may elect to make other documents-controlled documents.

All controlled documents must be stored in the IGO DMS.

Once the document is created, the creator will be required to upload it onto the DMS and enter details of the document into the relevant fields. This metadata will then be used to create a document title. The metadata will be used to facilitate the document search function in the DMS, as well as manage the document version control. The document may then be circulated as part of an automated workflow for review and approval, prior to publishing the final version.

The DMS will automatically generate a unique document identifier number to each document uploaded into the system. This number should be included in the footer of the document to allow ease of searching the system to find the document.

Only the most recent versions of controlled documents will be available for viewing on the DMS. This will be managed by the DMS Administrator.

The DMS Administrator will also ensure all documents comply with IGO naming and numbering conventions prior to placing them on the DMS.

## APPENDIX 2: IGO STANDARD TEMPLATES

All IGO employees with access to an IGO computer have access to the IGO standard document templates within the 'New' section of the Microsoft Office document type. For example:

Word Documents:

