



Australian Leading Institute of Technology

RTO Code: 45156

CRICOS Code: 03981M

No.6.1.5: Version Control Policy and Procedure

Policy Context

This policy relates to:	
Registration Manager	Australian Skills Quality Authority (ASQA)
Conditions of Registration	VET Quality Framework (VQF)
Codes and Standards	Standards for RTOs 2015 – Standards: 2.1; 2.2; 2.4;
Legislation or other requirements	National Vocational Education and Training Regulator Act 2012

Purpose

The purpose of this policy and procedure is to identify and manage the document control within the ALIT system.

Objective

The objective of this Policy and Procedure is to ensure that ALIT:

- has suitable and appropriate version control in place.
- the policy framework to comply with the version control Guidelines.
- personnel know their responsibilities and obligations.

Scope

This policy applies to all documents within the ALIT Quality Management System

General Processes

1. Version control processes

Version control can be used to track the changes that occur to a document and record its distribution throughout the document's development and subsequent revision(s). Version control will be applied to

all specified documents. The authority to approve amendments and revisions of documentation rests with the document stakeholder.

Process from:

- Creation
- Distribution
- Maintenance
- Retention
- The receipt

2. Policy Guidelines

ALIT's version control policy and procedure outline processes for ensuring ALIT staff has access to current, relevant and accurate documentation, and to ensure that any modifications made by staff are recorded. ALIT ensures that all staff and its clients are informed of any changes to legislative and regulatory requirements that affect the services delivered. All documents used to define, and support ALIT's business activities have a bearing on the quality of ALIT's management system and it is, therefore, imperative such a procedure is applied. ALIT is to apply version control to all specified documentation. The control process is to regulate and control the release and availability of documentation that are approved for use.

The authority to approve amendments and revisions of ALIT documentation rests with the document owner. Any additional documents that affect ALIT's continuous improvement system and the quality of education and training delivery should also be covered by version control procedures. The Version Control Policy and Procedure have been developed to ensure that staff are using the correct version of the documentation. Version Control is important to ensure the right version of the document, used by staff. The document owner information for policies and procedures and forms is in the Document Register.

3. Effective Document Control

Effective document control will be maintained by following good records management and meeting regulatory, legislative and policy guidelines.

4. Good records management

Information is a vital corporate resource. The implementation of best practice records management will support ALIT's business in many ways and is significant for many reasons such as to

- Improve the conduct of business in an orderly, efficient and accountable manner;
- Support compliance with statutory obligations;
- Support and document policy and managerial decision-making;
- Protect the interests of ALIT and the rights of students, staff, and stakeholders;
- Maintain a corporate memory for ALIT; and
- Guarantee tangible savings in time and resources.

5. Document Authors and Authorisation

The author of a controlled document is responsible for:

- Using appropriate templates and or formats for document creation
- Providing an easily identifiable file name relevant to search criteria
- Providing appropriate version control information
- Correctly identifying the file type (e.g. Policy, Form, Resource etc.)
- Filing the document in the appropriate location, and advising staff of the change;
- Recording the document details in an electronic register where required; and
- Arranging for archival of old versions (According to records archival policy and procedure)

Approval for release and/or use of controlled documents rests with the CEO. This approval Authorisation may be delegated by CEO.

6. Document Edits and Archival

Edits and Deletions are managed using version control and retention of 'Archive' versions in electronic archive folders. Where the edit or deletion pertains to a document used by other persons across ALIT, appropriate stakeholder consultation and communication is required prior to implementing changes or deletions.

7. Different types of documents for Version controlling

ALIT Version control several different types of documents, including, but not limited to:

- Assessment Pack (Student assessments)
- Assessor Pack
- Mapping documents
- Learner guides
- Policies and procedures
- Forms
- Fact sheets

- Student documentation

8. Version Control Procedure

Documents and files will be:

- Issued and authorised through CEO or authorized staff member.
- Updated by the CEO or authorised staff member in line with external policies, procedures, directives, guidelines and administrative instructions
- Contain an index outlining reference numbers, title and version control e.g. date of issue
- Authorised individually and include reference numbers, titles and version/issue

A new document created by the CEO or authorised staff member of ALIT must have the version of that document recorded as follows:

- Insert the date in the footer: effective date and review date
- The effective date will change the version of the new document
- Insert the page number in the footer: page_ of _
- Edit so the version (date) and the page number to appear on the first page
- Save in the designated / relevant (computer) folder and mention the location
- Include other details such as "Document type".

Superseded documents will be:

As documents are superseded, the following procedure applies:

- Create a 'Superseded' or 'archived/obsolete' folder within the designated / relevant area of the computer
- Move the old file into the Superseded folder

The intention is to have only current versions visible within any designated folder.

9. Controlled documents

All documents are tracked, and version controlled to ensure consistency and relevance of business processes across all aspects of ALIT's operations.

Document control includes:

- Maintenance of a revision register
- Approval for use
- Availability of latest versions for relevant staff
- Correct identification of documents

- Up-to-date and relevant versions

Uncontrolled documents may include:

- Photocopies and printed copies of controlled documents
- All documents stamped or printed with 'Uncontrolled Copy' or 'uncontrolled copy when printed'
- All documents stamped or printed with 'DRAFT'
- Uncontrolled documents should be regularly checked to ensure currency

10. Maintenance and review of documentation

ALIT ensures that it complies with the Standards at all times, including where services are being delivered on its behalf. This applies to all operations of an ALIT within its scope of registration.

The ALIT provides an annual declaration on compliance with these Standards to the VET regulator and in particular whether it:

- currently meets the requirements of the Standards across all its scope of registration and has met the requirements of the Standards for all AQF [Australian Qualifications Framework] certification documentation it has issued in the previous 12 months
- has training and assessment strategies and practices in place that ensure that all current and prospective learners will be trained and assessed in accordance with the requirements of the Standards.

Duties of ALIT's CEO or authorised staff member include assignment of each document appropriately according to business requirements and to ensure each document is maintained and updated. The approval process remains the same for all documents. It is the responsibility of the CEO to review proposed changes and ensure compliance with relevant legislative and regulatory requirements. The management team will review summary reports of significant changes to confirm there is congruence between business requirements and support systems. This review will take place quarterly.

Reports will include:

- Documentation changes
- Changes to the document structure
- Reviews and changes to documentation approving authorities

11. Version control

- ALIT documents are approved and stored on the appropriate electronic system:
- When the document is authorised, the document will be published and staff will be advised about the changes.

12. Document Footer

Version control information is to be prominently displayed in the header and footer of all ALIT documentation. Exceptions to this requirement include correspondence, forms, surveys, registers and other operational documentation where the inclusion of these tables would be considered impractical. These documents must, however, have the appropriate notation in the document footer. The version number is to be updated after each amendment.

13. Document location and protection

All ALIT documentation is to be recorded in one central file location and in the Commons folder and is to be managed by the CEO of ALIT. The contents of this file should be accessible to all ALIT representatives who are authorised to access.

Procedures

	Procedure Steps	Responsibility	Reference
1	<p>Applying Version Control</p> <p>a.) Document dates</p> <p>The author of the document includes the date the document is created or revised into the footer of the document on every page in the format DD/MM/YYYY or MM/YYYY.</p>	<p>CEO</p> <p>CEO</p>	
2	<p>b.) Document author</p> <p>The author of the policy/ the individual making amendments includes their name in the "Prepared by" section of the policy.</p>	CEO	
3	<p>c.) Version numbers</p> <p>The author of the document includes the current version number in the footer of the document on every page.</p>	CEO	
4	<p>d.) Draft document version number</p> <p>The first draft of a document will be V0.1. Subsequent drafts will have an increase of</p>	CEO	

	<p>“0.1” in the version number, e.g., V0.2, 0.3, 0.4...0.9, 0.10, 0.11....1.0, 1.1.....10.1</p>		
5	<p>e.) Final document version number and date</p> <p>The author will deem a document final after all reviewers have provided final comments and the comments have been addressed and the document agreed at committee level where appropriate. The first final version of a document will be Version 1.0 (i.e. V1.0). The date of when the document becomes final should be included. Subsequent final documents will have an increase of “1.0” in the version number (V2.0, V3.0, etc.).</p>	CEO	
6	<p>f.) Final documents undergoing revisions</p> <p>Final documents undergoing revisions will be Version X.1 for the first version of the revisions. While the document is under review, subsequent draft versions will increase by “0.1”, e.g., VX1.1, X1.2, X1.3, etc. When the revised document is deemed final, the version will increase by “1.0” over the version being revised, e.g., the draft VX1.3 will become a final V2.0.</p>	CEO	

7	<p>g.) Documenting changes</p> <p>Changes to documents should be made in accordance with the above guidelines.</p> <p>A list of changes from the previous draft or version should be highlighted and submitted to committees during review and approval processes as appropriate.</p>	CEO	
8	<p>h.) Document without any version</p> <p>Any old document without any version should be considered as version 1.0. of the document.</p>	CEO	

Version Control:

Document Name		No.6.1.5: Version Control Policy and Procedure V2.0 20062023		
Document Code		V 2.0 20062023		
Approve By		CEO	Date Approved	20.06.2023
Revision History				
Version	Date of Changes	Change Summary	Author	Review Due
V1.0	October 2022	Original	VET management	June 2023
V2.0	June 2023	Updated & reviewed	VET management	June 2024
Organisation		Australian Leading Institute of Technology		
Document Controller		Operation and Compliance Officer		