

# (Standard and Guide)

## ICT Standard and Guide for Document Management

### Document Purpose

<b>Document Purpose</b>	<p>This document outlines the standards, including objectives, scope and structure, of the Document Management Process within the Division of ICT Services of the University of Southern Queensland, as it applies to electronic documents to be stored on the ICT Intranet called ICTIndex.</p> <p>Furthermore, it identifies the various stages of a document lifecycle that may apply to these documents, and the standards and conventions that should be considered when creating or maintaining an electronic document intended for use or reference by more than one person within or outside the Division of ICT Services.</p> <p>The security level of access to any document is to be determined prior to the publishing process.</p> <p>The intention is to provide a framework for the development and maintenance of electronic documents that are consistent and present a professional image appropriate to the intended audience.</p> <p>This document is divided into three separate sections to enable the various ICT stakeholders to quickly go to the relevant section to find the information necessary to understand and comply with the requirements.</p>			
<b>Document Information</b>	Version	1.0		
	Release Date	July 2008		
	Release Status	Final		
	Review Date	July 2009		
	Author(s)	Michael Thompson		
	Owner	Principal Manager - Service Delivery		
	Print Date	Last Printed: 26/09/2008 1:46:00 PM		
	Approved By	Principal Manager – Service Delivery		
	Policy	USQ Policy for ICT Information Management and Security		
	Type of Document	Standard		
	Electronic Location and Filename	<a href="http://www.usq.edu.au/resources/ict_standard_and_guide_for_documents_management.pdf">http://www.usq.edu.au/resources/ict_standard_and_guide_for_documents_management.pdf</a>		
<b>Version Control</b>	Version	Date	Author(s)	Summary of Changes
	V0.1	21/8/07	Michael Thompson	Document creation
	V0.2	20/11/07	Maggie Fryer	Minor editing
	V1.0	July 2008	Maggie Fryer	Final release
<b>Error Advisory</b>	<p>To the Reader:</p> <p>If you encounter any inaccuracies or printing faults in this document please contact the Owner (see Document Information section, above) as soon as possible. The Owner will then initiate the required modifications</p> <p>If you are unable to contact the Owner, contact that person's Manager Supervisor.</p> <p>Thank you for helping the Division of ICT Services maintain quality documentation.</p>			

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# 1 Definitions

The *ICT Glossary and Definitions* contains a description of any common ICT terminology referred to in the policy and standard documentation.

## 2 Standard and Regulations

The *ICT Standard and Guide for Document Management* applies specifically to appropriately authorised and approved documentation that is stored electronically on the ICT Intranet ICTIndex (<http://usqindex.usq.edu.au/sites/ictindex/default.aspx>), on the USQ Intranet, (<http://usq.index.usq.edu.au>) and on the ICT Corporate Website ([www.usq.edu.au/ict](http://www.usq.edu.au/ict))

These document hierarchies provide repositories for electronic documentation of interest to the USQ community, ICT community, and individual teams within ICT. The level of accessibility granted to a specific document will be determined prior to the approval and release of that document.

Outside of the ICTIndex, ICT staff will have access to other network file storage and a range of local file storage. This document does not apply to these areas.

The USQ and ICT Project Management Methodology is exempt from these instructions.

### 2.1 Regulations

1. Policies and documents for inclusion in the USQ Calendar are to be reviewed by the Chief Technology Officer. Once reviewed, these documents may be tabled and approved by various governance committees of which ICT staff are members. Once approved, they will be sent to the person responsible for amendments to the USQ Calendar for inclusion in the next update.
2. All other ICT documents stored in the ICT Corporate Website, USQIndex or ICTIndex should be approved by an appropriate ICT staff member or committee, commensurate with the level of risk, confidentiality, audience and significance of the document and issues discussed in the document.
3. Some documents will be published in PDF format to preserve their integrity. The original source documents will be stored in the Documentation Framework site on ICTIndex.
4. All documents that improve the level of assurance, business continuity, and delivery of the range of products and services provided by ICT should be stored electronically on ICTIndex.
5. Each document should contain a Document Information and Version Control statement on the first page of the document.
6. All printed documents will be treated as Uncontrolled. The Controlled version will be the electronic version located in the ICTIndex.

### 2.2 Definitions

1. For the purposes of this *ICT Standard and Guide for Document Management* and all associated and related documentation and processes, the terms 'document' and 'documentation' include any recorded information or material, in electronic format, which conveys coherent information for human understanding and use.
2. The terms 'document' and 'documentation' also include any recorded information, including, but not limited to, textual data, graphical, visual, audio, and electronic information.

## 2.3 Concept – The Need for Document Management

Document management is a process that ensures an organisation's documentation is created and controlled using standardised methods and utilities.

Document management:

- Improves the level of procedural knowledge.
- Decreases the number of procedural mistakes caused by obsolete and/or inaccurate information.
- Decreases the time new staff take to become productive by providing reliable procedures for them to follow.
- Reduces the time necessary for providing training and induction to new staff.
- Reduces uncertainties regarding task ownership by clearly defining roles and responsibilities.
- Ensures procedural data remains in an organisation and does not leave when a staff member leaves or is unavailable for an extended period of time.

Most importantly, document management:

- Facilitates the delivery of quality service.
- Facilitates business continuity.
- Supports the creation of an environment conducive to identifying and developing improved services and increased value.

## 2.4 Objective – ICT Document Management Process

All documentation subject to this standard should adhere to the ICT Document Management Process.

The ICT Document Management Process regulates and guides the lifecycle of every document created by, and for, the Division of ICT Services. In brief, the process helps ensure that each document is:

- Created in a standard and reliable format, with accurate content and common naming conventions.
- Correctly maintained to ensure continued accuracy and validity.
- Accessible from designated locations (electronic).
- Securely archived (and eventually destroyed) when the document no longer services an existing process.

## 2.5 Process Overview - ICT Document Management Process

The Document Management Process regulates the entire lifecycle of every document created within that process, and is comprised of the following six sub-processes:

1. Creation
2. Approval
3. Publication
4. Maintenance
5. Archive
6. Destruction

Each of these processes is explained in more detail later in this document.

## 2.6 Utilities and Methodologies

Management of the Document Management Process is facilitated by a number of utilities and methodologies, which enable the tracking of a document's lifecycle and the recording of changes. ICTIndex is the current repository used by ICT for storing these documents in a convenient and accessible format.

### 2.6.1 ICTIndex Document Category Table

ICT documentation is categorised into three distinct levels, which form the Document Category Table:

Category Level	Description
Level 1	<p>The ICTIndex Home Page contains high level documents such as document libraries (which include areas for documents such as asset registers, policy documents, standards, processes, procedures, guides, etc.) Documents published to this level will be accessible to all ICT staff.</p> <p>Some high level documents may need to be accessible to wider audiences. In these circumstances documents that need to be accessible to USQ Staff will be published to USQIndex. Documents that need to be accessible to USQ Students, staff and communities will be published to the ICT Corporate Website.</p> <p>Original source copies of documents published to all three areas above will be stored in the Documentation Framework site. The source copies will be used for review, updating and archiving.</p>
Level 2	<p>Subordinate Sites to Level 1, subdirectories of hierarchies for each of the four sections within ICT may be created and contain documents only of immediate relevance and access to staff members within the ICT Sections. These sections include: Executive, Infrastructure and Systems, Performance Measurement and Investment Management, and Service Delivery.</p>
Level 3	<p>Subordinate to Level 2 may be the requirement for individual directories that contain documents only of immediate relevance and access to staff members within the DICT individual teams, virtual teams and cross sectional teams.</p>

## 2.6.2 Document Published Location and Primary Storage Location

The location of published documents will be accessed by the intended audience using the following criteria

Audience	Published Location
USQ Students, USQ Staff and other communities	ICT Corporate Website
USQ Staff and Students	ICT Corporate Website in a folder requiring authentication using USQConnect password
USQ Staff	USQIndex
ICT Staff	ICTIndex

An original source copy of every published document will be stored in the ICT Documentation Framework site which is a subsite of ICTIndex. This site will be used as the primary storage and workspace/collaboration area for all ICT policies, standards and guidelines. Documents will be created, edited and maintained in this site. Once a document is ready for release, a copy will be converted to Adobe Acrobat (PDF) format and published to the relevant location.

All URL references within a document will be linked to the published version of the reference. An edited document when released for publication will overwrite the existing published version, to ensure that links to the document remain valid.

## 2.6.3 Documentation Register

No specific manual Documentation Register exists. Users can search the ICT Corporate Website, USQIndex and top level libraries to locate specific documentation published to those locations. For each document stored electronically, the following details should be provided:

- Location where published
- Document Title
- Date Published
- Who Published
- Review Date.

Documents will be reviewed at least annually.

## 3 Document Management Guidelines

These guidelines outline the various management stages of a document lifecycle from creation, approval, publication, maintenance, archive, and ultimately destruction of a document in line with the Document Management Process within the Division of ICT Services of the University of Southern Queensland.

### 3.1 Creation Process

Under the Document Management Process, a document must be created if an ICT process is identified which does not have current documentation.

The creation process ensures that the document is created according to common standards governing naming, layout and structure.

The requirement for a new document may occur when:

- A new process is created, requiring documentation.
- An existing process has been identified, lacking documentation.
- A process has existing documentation, neither created nor controlled by the Document Management Process.

A ICT process requires documentation			
Step	Task/Description	Responsibility	Procedure
1	Inform Principal Manager of the issue.	ICT Staff Member	See Note 1
2	Consider the need for the document. <ul style="list-style-type: none"> <li>• If the document is considered unnecessary, the process ends.</li> <li>• If the document is considered necessary or useful, continue to Step 3.</li> </ul>	Principal Manager	
3	Access the ICTIndex Documentation Framework Site for the type of document required and search the site for any similar document. <ul style="list-style-type: none"> <li>• If a similar document exists that solves the issue, the process ends.</li> <li>• If a similar document exists that may be modified/updated to solve the issue, go to Maintenance procedure section of this document.</li> <li>• If no similar document exists, continue to Step 4.</li> </ul>	Principal Manager	
4	Approve creation of document: <ul style="list-style-type: none"> <li>• Create a working document title.</li> <li>• Allocate an Owner and Author for the document.</li> <li>• Allocate a template type for the document.</li> </ul>	Principal Manager	
5	Create Draft document: <ul style="list-style-type: none"> <li>• Using template allocated.</li> <li>• Using name provided.</li> <li>• Using internal version number V0.1.</li> </ul>	Author	
6	Research, write and illustrate document as required.	Author	

#### 3.1.1 Notes

1. There is no formal set procedure for advising the Principal Manager of a documentation issue.

## 3.2 Approval Process Overview

Once through the creation stage, the document is ready for review. The document is reviewed by the designated Owner to ensure it is accurate and meets the standards of the Document Management Process. If it does not, the document is returned to the Author for modification.

Once the Owner is satisfied that the document is accurate and follows document standards and conventions, the document must be approved by both the Owner and the relevant ICT Principal Manager.

Step	Task/Description	Responsibility	Procedure
1	<p>Review document and ensure the document achieves its intended purpose and has been produced in line with ICT document standards and conventions.</p> <ul style="list-style-type: none"> <li>• If the document does not achieve its purpose, go to Step 2.</li> <li>• If the document has not been produced in line with ICT document standards and conventions, go to Step 2.</li> <li>• If the document both achieves its purpose and has been produced in line with ICT document standards and conventions, go to Step 3.</li> </ul>	Owner	
2	<p>Edit and Proof document and modify/correct problems and ensure:</p> <ul style="list-style-type: none"> <li>• Internal version numbering is incremented in line with version numbering standards.</li> <li>• Modified/corrected document re-enters the flow at Step 1.</li> <li>• Submit to Owner to approve final editing. Go to Step 3.</li> </ul>	Owner/Author	
3	<p>Review document.</p> <ul style="list-style-type: none"> <li>• If document approved, go to Step 4.</li> <li>• If document is not approved, re-enter the flow at Step 2.</li> </ul>	Owner	
4	<p>Review document.</p> <ul style="list-style-type: none"> <li>• If document approved, continue to Publishing process (see <i>Section 3.3</i>).</li> <li>• If document is not approved, re-enter the flow at Step 2.</li> </ul>	Principal Manager	

### 3.3 Publishing Process Overview

The publishing process ensures that approved documents contain accurate and up-to-date creation, approval, and maintenance information, and that only the most recent version of any document is available for access and use.

Step	Task/Description	Responsibility	Procedure
1	Update Document Information table. <ul style="list-style-type: none"> <li>• If distributing a modified document, go to Step 2.</li> <li>• If distributing a new document, go to Step 3.</li> </ul>	Owner	See Section 3.6
2	Update document history tables: <ul style="list-style-type: none"> <li>• Update Document Information and Version Control Log.</li> </ul>	Owner	
3	Forward document to Principal Manager or their Administrative Officer for distribution.	Owner	
4	Administrative Officer checks document links and URLs, converts to PDF format and uploads document to designated location.	ICT Administrative Officer	
5	Update Review Date in the Documentation Framework site. See Note 1.	Owner/ICT Administrative Officer	

#### 3.3.1 Notes

1. The document's Review Date is typically set at 12 months from the date the document was last reviewed. Where it is believed that a document will require review within the 12 month period, a shorter period (i.e. closer Review Date) may be set, at the Owner's discretion. In any case, documents may not be allocated a Review Date exceeding 12 months from the date the document was last reviewed.

### 3.4 Maintenance Process Overview

All documents are allocated a review period of not more than one year. In addition, all ICT staff are required to notify an Owner where an inaccuracy or problem is identified in an approved document, and Owners must then initiate an update of the document.

<b>Document Review Date has been reached, or an inaccuracy/problem has been identified prior to Review Date.</b>			
Step	Task/Description	Responsibility	Procedure
1	Check out the electronic copy of document in the Document Framework site	Owner	
2	Review document. <ul style="list-style-type: none"> <li>• If document is not longer useful, go to Archive process (see <i>Section 3.5</i>).</li> <li>• If document requires modification, go to Approval process (see <i>Section 3.2</i>).</li> <li>• If document does not require modification, go to Step 3.</li> </ul>	Owner	
3	Update document Review Date in Document Information table.	Owner	See Note 1
4	Administrative Officer checks document links and URLs, converts to PDF format and uploads document to its published location. Publishing will overwrite the previously published document.	ICT Administrative Officer	
5	Update Review Date in the Document Framework site. See Note 1.	Owner/ICT Administrative Officer	

#### 3.4.1 Notes

1. The document's Review Date is typically set at 12 months from the date the document was last reviewed. Where it is believed that a document will require review within the 12 month period, a shorter period (i.e. closer Review Date) may be set, at the Owner's discretion. In any case, documents may not be allocated a Review Date exceeding 12 months from the date the document was last reviewed.

### 3.5 Archive Process Overview

Within ICT, the majority of documents stored in the Documentation Framework Site on ICTIndex relate to the provisioning of current services, systems, and processes. In many instances, the implementation of new versions negates the need to retain superseded version documentation. The disposal schedules outlined by Queensland State Archives for the General Retention and Disposal of Administrative Records appear to provide guidance at the organisational level not the departmental level.

To be safe though, the archive process to be applied for ICT documents will involve taking a full copy of designated ICT Libraries to be archived, storing these in CD or DVD format, and filing and recording these in the ICT Offsite storage facility.

CD and DVD copies will be retained for a period of 7 years and then will be removed from the archive and destroyed.

Step	Task/Description	Responsibility	Procedure
1	The Document category table (Section 4.1) will identify which repositories of documents should be copied and archived.  Twice a year (eg. January and July) a CD or DVD copy will be created of all documents to be archived .	ICT Administrative Officer	
2	CD or DVD copies will be taken to the ICT Offsite storage facility. A register of copies stored in the Offsite facility will be maintained in the Document Framework site and will identify the date that new copies were stored.	ICT Administrative Officer	

### 3.6 Destruction Process Overview

If a document does not require archiving, it will be destroyed either when a new version is created or updated, or when the Owner advises that the document is no longer required. Archival copies of documents will be destroyed after a period of 7 years has elapsed from the creation of the CD or DVD archive version.

Step	Task/Description	Responsibility	Procedure
1	Retrieve CD or DVD copies from ICT Offsite storage,	Owner, ICT Administrative Officer	
2	Update the Archived Documents Register.	Owner, ICT Administrative Officer	
3	Destroy archived copies.	ICT Administrative Officer	

### 3.7 Roles and Responsibilities

#### 3.7.1 Document Management RACI Chart

The following RACI Chart is intended to provide an overview of responsibilities in relation to this process.

ICT Document Management Information Policy and Guidelines - RACI Chart		Functions	USQ ICT Governance	CIO	CTO	ICT -EMT	PM (for respective Section)	Admin Staff	Business Process Owner	ICT Manager/Supervisor	Owner	Author
<b>Activities</b>												
<b>Document Creation</b>	Consider the need for a document					I			R			
	Approve creation of document				R		R					
	Create draft document in Documentation Framework site											R
	Research, write document											R
<b>Approval Process</b>	Review document										R	
	Edit/Modify document										R	
	Review and Approve document				R		R					
<b>Publishing Process</b>	Update Document Information table							R			R	
	Update document history tables										R	
	Check document links and url's, convert to PDF and upload to published location							R				
	Update Intranet Review Date for original copy in Documentation Framework site							R				
	Communicate changes								R			
<b>Maintenance Process</b>	Review original copy of document										R	
	Implement Approval Process										R	
<b>Archive Process</b>	Create a CD or DVD copy of all documents to be archived and store in off-site storage							R				
<b>Destruction Process</b>	Retrieve CD or DVD copy from off-site storage, updated archive records and destroy archived copies							R				
	<b>Document Review Schedule</b>							R				

(Who is Responsible - R, Who is Accountable - A, Who is Consulted - C, Who is Informed - I)

#### 3.7.2 Author

The Author can be any ICT staff member, or an external resource. The Author may change throughout the lifecycle of a document.

The Author:

- Researches and writes the document.
- Performs maintenance on the document.
- Ensures document contents are accurate and pertinent to the subject matter.
- Ensures editing and proofing requirements are met.

### 3.7.3 Owner

The Owner can be any ICT staff member who has involvement, responsibility, or interest, in the document's subject matter. The Owner may change throughout the lifecycle of the document.

The Owner:

- Ensures no unauthorised copies of the document are made.
- Ensures the document is maintained in its designated location.
- Ensures the document is not modified outside of document management control.
- Ensures that any changes to real-world processes are also made in any relevant and/or associated documents, within one week of the real-world change.
- Ensures the veracity and validity of any authorised changes made to the document, and approves these changes before the modified document is released.
- At scheduled periods of a document's lifecycle, analyses and decides if a document requires modification, archiving, or destruction.
- Decides if modification review and archive storage periods require extension.
- May perform maintenance on the document.

### 3.7.4 Principal Manager

The Principal Manager in this case is the manager of each section of the ICT. In such cases where the Principal Manager is not available, the next person in charge can perform the tasks as required.

**Note:** Where a Principal Manager is also the Author and Owner of a document, another staff member must perform the Principal Manager's reviewing responsibilities.

Principal Managers:

- Approve release of the document for publication after the owner has released the document for use.
- Ensure the document does not duplicate the content or purpose of an existing document.
- Ensure the document uses the correct template and file naming conventions.
- If the Owner of a document has left the section, Principal Managers must allocate any of the Owner's documents to a new Owner. In such cases, until a new Owner is allocated, the Principal Manager becomes temporary Owner of those documents.

### 3.7.5 Chief Technology Officer

The Chief Technology Officer in this case is the Chief Technology Officer of the ICT. In such cases where the Chief Technology Officer is not available, a Principal Manager, or other delegated representative of the Chief Technology Officer, can perform the task as required.

**Note:** Where the Chief Technology Officer is also the Author and Owner of a document, another staff member must perform the Chief Technology Officer's reviewing responsibilities.

The Chief Technology Officer:

- Schedules periodic audits of the content and quality of the Document Management Process.
- Approves modifications to the ICT Document Management Process.
- When new or amended policies, standards, or guidelines, are introduced, the Chief Technology Officer assesses the implications of these new policies, standards, or guidelines, and initiates the creation of new policies, standards, and guidelines, or the amendment of existing policies, standards, and guidelines, as necessary.
- If a Principal Manager, being the Owner of a document, has left the section, the Chief Technology Officer must allocate any of the Principal Manager's documents to a new Owner. In such cases, until a new Owner is allocated, the Chief Technology Officer becomes temporary Owner of those documents.

### 3.7.6 ICT Staff

ICT staff are not only the end users of documentation, they also play an integral part in ensuring that document management works.

ICT staff must ensure that:

- They do not store obsolete documentation.
- They do not make unauthorised copies of documentation, including printed copies, electronic copies, or storage of electronic copies in unauthorised locations.
- Any undocumented process is brought to the attention of their Principal Manager, and that a document creation is initiated.
- Any modifications to a process affecting its documentation are brought to the attention of the document Owner to ensure modifications occur within one week.
- Any unauthorised documentation used by ICT staff is re-created and processed through the Document Management Process.

### 3.7.7 Delegated Responsibilities

The roles...

- Author
- Owner
- Principal Manager
- Chief Technology Officer

...include any person authorised by the holder of that role to fulfil the duties and responsibilities of the role. The holder of the role, however, remains ultimately responsible for the correct and complete fulfilment of any delegated duties and responsibilities.

## 4 Document Management Standards

These standards outline the various syntax and regulations that will apply to the conventions applied as part of a document, in line with Document Management Process within the Division of ICT Services of the University of Southern Queensland.

### 4.1 Document Category Table Level 1 - Detailed View

Master and policy/standards type documents are located at Level 1 of the Document Category Table. Documents in this level are:

Document Types	Archive Required	Description
Brochures		Brochure documents are used to present and promote ICT products and/or services.
Diagrams	Yes	Diagrams are used to display data which is best presented in a physical/relational context, in a graphical format (e.g. floor plans, network diagrams).
Forms		Forms provide a method for requesting a service or activity and/or recording that service/activity or other details (e.g. Incident History form).
Guides	Yes	Guides provide guidance and assistance on performing specific processes and procedures, together with Standards, provide the means to verify the quality aspect of the Document Management Information Process.
Manuals	Yes	Manuals describe a collection of procedures covering a common theme. Unlike processes, the procedures described in manuals do not have to be in any specific sequence. Procedures described in manuals can cover elements of different processes.
Minutes	Yes	Minutes of meetings, committees and reference groups. The official printed version must be signed by the Chairperson.
Newsletters		ICT Newsletters
Operating Level Agreements	Yes	Operating Level Agreements describe an agreed capability and resource constraints that a Team or Section is able to deliver.
Organisational Charts		Organisational charts describe an organisational/staffing structure in graphical format.
Plans	Yes	Plans describe the processes and steps involved in performing a particular task or set of tasks, due to occur at a future point or on a recurring frequency (e.g. Test Plans).
Policies	Yes	Policies describe specific high-level processes and strategic outlines. The ICT currently operates under a single over-arching <i>ICT Management and Information Security Policy</i> , supported by various standard documents. The Chief Technology Officer must approve the creation of any new policy.
Position Descriptions		Position descriptions are detailed presentations of the roles and responsibilities of a particular staff position. Position descriptions are used to record the activities and purposes of a role, and to provide an accurate picture of the requirements of that role.
Procedures and Processes	Yes	Procedures describe step-by-step work instructions for a particular job/task. Processes describe a sequence of events from start from finish, which reach a final outcome. The events described are classed as sub-processes and are further detailed in separate procedures and/or manuals.
References and Agreements	Yes	Resources useful for supplying information and/or solutions. References may include materials of current and historical interest.
Reports		Reports are created as a summation or account of an activity. Reports are normally produced as part of a project, or as a result of analysis.

Service Level Agreements	Yes	Service Level Agreements describe an agreed service to be provided by a service provider to a client. Service Level Agreements outline items to be serviced, and how that service will be maintained.
Specifications	Yes	Written requirements for materials, equipment, systems, and standards. May include the tests, test methods, and acceptance criteria that define quality standards. Specifications may include maps or other graphically presented data.
Standards		Standards describe specific conditions and protocols, models or criteria, that will produce uniform and consistent outcomes. Standards may include the conditions under which an objective is to be achieved, and/or the manner in which the work is to be performed.  Standards documents, together with Guides, provide the means to verify the quality aspect of the Document Management Process.
System documentation		System documentation describes the requirements, capabilities, limitations, design, operation, maintenance, and physical location of a system.
Templates		Templates are documents containing only the basic infrastructure of a standardised document, and are used as a basis for new documents of that type.

## 4.2 File Naming

Document file names consist of 1 component:

**[document title]**

With the Document title containing a reference to the document type of category. For example:

**[Document Standards and Conventions.doc]**

File names must follow the following rules:

- There must be one space between each word
- Capitalisation and spelling must appear exactly as it is shown in the document title
- Document file names should not include the document version number.

## 4.3 Document Title

With the exception of forms, templates, and spreadsheets, the document title appears:

- In the body of the document's cover page
- In the header of the document's cover page
- In the header of the document's body content
- As part of the document's electronic file name.

The following exceptions apply:

- Forms : The document title appears as part of the document's electronic file name, which is located in either the header or the footer of the document, as appropriate.
- Spreadsheets : The document title appears as part of the document's electronic file name, and is displayed in the title bar of the spreadsheet application.
- Templates : The document title appears as part of the document's electronic file name. The document title does not otherwise appear in the document.

### 4.3.1 Rules

- Document titles must accurately and concisely represent the document's purpose.
- Where a document will have the same name and/or purpose for more than one section of the ICT, the document title must include the name/acronym/initials of that section: (e.g. PMIM Work Request, SD Work Request).

## 4.4 Version Numbering

Version numbers will be allocated by the Owner. Every document will have an identifying version number. With the exception of forms, templates, and spreadsheets, the version number must be displayed:

- In the Document Information table located on the document's first page

The following exceptions apply:

- Forms : The version number appears as part of the document's electronic file name, which is located in either the header or the footer of the document, as appropriate.
- Spreadsheets : The version number appears as part of the document's electronic file name. The version number does not otherwise appear in the document.
- Templates : The version number appears as part of the document's electronic file name. The version number does not otherwise appear in the document.

### 4.4.1 Version Number Formatting

Version numbering is broken down into two types:

1. Draft version numbering
2. Active Change version numbering

**Draft** version numbering is displayed in the following format: **Vn.n**

Where: **V** : is always presented in uppercase  
**n** : is a number from 0 to 9.

**Active Change** version numbering is displayed in the following format: **Vn.n**

Where: **V** : is always presented in uppercase  
**n** : is a number from 0 to 9.

### 4.4.2 Draft Version Numbering

A document is considered to be in Draft stage from the time it is created until it is approved. During creation, the document will undergo continual review and modification until it is approved.

Draft version numbers appear to the right of the decimal point in the version number (the zero on the left side of the decimal point never changes in a Draft document version number). The Draft version number increases by one minor version with each review and modification. For example:

Modification	Version Number (increases)
First draft	V0.1
Second draft	V0.2
Third draft	V0.3

Where a document has gone through more than 9 drafts (i.e. V0.9), the version number format may be extended to V0.nn (e.g. V0.11).

### 4.4.3 Active Change Version Numbering

Active Changes only occur to approved documents. An Active Change is any change made after a document has been approved.

When a Draft document is approved, its version number changes to V1.0. This is the first 'live' version of the document, and means it is approved for use. Any further changes to the document cause the version number to increase by one minor version from  $Vn.1$  to  $Vn.9$ , and then increase by version in sequential order. For example:

Modification	Version Number (increases)
First change	V1.1 (was V1.0 - increases by .1)
Second change	V1.2
Third change	V1.3
...	
Tenth change	V1.10
Eleventh change	V1.11
Twelfth change	V1.12

After a document has been reviewed, the version number changes by 1 increment (eg review done after twelfth change, V1.12 changes to V2.0).

## 4.5 Document Information

The first page of each policy, standard or guideline provides information on the purpose, current status and history of that document. This information is presented in table format, and is displayed between three separate tables:

1. Document Purpose
2. Document Information table
3. Document Version Control Log table

Document information tables are included in document templates.

### 4.5.1 Document Information Table

The following details must be completed for each Document Information table:

Details	Description	More Information
Version	Version number of the current document.	See <i>Version Numbering</i> , page 20.
Release Date	Date the current (approved) version of the document was released for use.	
Release Status	One of: Draft or Approved.	
Review Date	Date the document is due for review.	
Author(s)	Document Author(s) name(s).	
Owner	Document Owner name.	
Print Date	<i>[Date the document was last printed - inserted by Microsoft Word print field]</i>	
Approved By	Name of approving authority.	
Policy	The policy or policies with which this document is associated. For ICT documents, this will be the <i>ICT Management and Information Security Policy</i> .	
Type of Document		See Document Category Section 3.1
Electronic Location and Filename	Location (URL) of the document on the USQ DICT intranet.	

## 4.5.2 Document Version Control Log Table

The Document Log presents an historical overview of the document. The following information must be completed for each released version of the document following version 1.0:

- Version : Version number.
- Date : Date the version of the document was released for use.
- Author(s) : Name(s) of the person(s) who modified the document.
- Summary of Changes : A short summary of changes made to the previous released version.

Document Version Control Logs are completed with information for the most recent version displayed at the top of the table.

## 4.5.3 Example

Where version 1.1 of a document was updated to include information on new functionality (e.g. a new report called 'Monthly Statistics'), the Document Version Control Log might appear as:

Version	Date	Author(s)	Summary of Changes
V1.2	01/06/2004	Maggie Fryer	Added information and procedures for new report: Monthly Statistics.
V1.1	01/01/2004	Troy Downs	Fixed incorrect procedure instructions.

## 4.6 Related Documents Information

For Policies, Standards, Guidelines, Minutes and other documents as required, the Related Documents section of each document includes a list of documents related to the contents of that document. If these documents are stored electronically, a link should also be part of the document name.

### 4.6.1 Related Documents Categories

Related documents are divided into four categories:

1. Policies, standards and guides
2. Procedures
3. Forms and templates
4. Other

For each document listed in the Related Documents section, the following information is required:

Document (Electronic) : The document file name:

(e.g. Document Standards and Conventions)

Note that neither the version number (e.g. V1.0) nor the file extension (e.g. .doc) should be included.

Location (URL) of the published version of the document.

# 5 Related Documents

Document (Electronic)	Official Information Standard
<a href="http://www.usq.edu.au/resources/113.pdf">http://www.usq.edu.au/resources/113.pdf</a>	