

Duchy Preschool & Playgroup, Bradninch				Page 1 of 4	
Document.	029	Control of Documents Policy			
Revision	02	Approved By	P Whateley	Approval Date	02/01/14

Scope

This policy applies to all provision for early years aged children, and also – where appropriate – to before and after school provision and walking bus provided by Duchy Pre-school and Playgroup for primary school aged children attending The Duchy School in Bowley Meadow.

Aims

To provide a policy and method for controlling documents within the setting. In general this policy is intended to be compatible with the requirements of clause 4.2 of ISO EN 9001:2000, but without implication of formal compliance.

Policy

Where appropriate documents will be controlled so as to:

- Approve documents for adequacy prior to issue,
- Review, update as necessary, and re-approve documents,
- Identify the changes and current document revision status,
- Make relevant documents available at points of use,
- Ensure the documents remain legible and readily identifiable,
- Identify and control distribution of any external documents,
- Prevent obsolete documents from unintended use,
- Apply suitable identification if obsolete documents are retained.

All Policies in use at the setting shall be regarded as controlled documents. Other documents shall be controlled as required and the requirements for their control shall be documented in this policy or separately if required.

Approval prior to issue.

In general, the minimum level of “approval prior to issue” for policies shall be the full committee of trustees (subject to annual review and re-approval by AGM).

In the event that it is necessary to implement a setting instigated change to a policy before a scheduled Trustees Committee meeting, the document may be given interim approval by the sub-committee with responsibility for review, subject to confirmation at the next full committee meeting.

In the event that a change to a policy is the result of a statutory or regulatory change, (or a change in the address of a regulatory body for example), the approval authority shall be delegated to the Managing Supervisor, or Business Manager, subject to the change being brought to the attention of the Trustees at the next Committee meeting.

Any other documents requiring approval shall be approved as required.

Approved by (signature)	
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Duchy Preschool & Playgroup, Bradninch				Page 2 of 4	
Document.	029	Control of Documents Policy			
Revision	02	Approved By	P Whateley	Approval Date	02/01/14

Review and Re-approval.

All policies shall be subject to periodic review and re-approval by Annual General Meeting. Prior to each Annual General Meeting, policies currently in force shall be updated with any changes known to be required, and will then be issued **in draft** (and stamped as uncontrolled) to the trustee with responsibility for review. The Trustee shall review and identify changes required in time for the policies to be posted for parental scrutiny prior to the AGM.

Any other documents deemed to be controlled shall be subject to periodic review as required.

Identification of Changes and Document Revision Status.

Changes in a policy shall be identified in the text by a marginal mark (a bold line in the margin), and also in the document history on the last page of the document. The original (or first known revision) of a policy shall be given the revision number 00. Subsequent revisions (including re-approval at AGM whether or not the content has been changed) shall increment this number. Previous revisions of policies shall be retained as master copies marked “**OBSOLETE**” so that the precise changes can be identified.

Any other controlled documents shall be subject to change control as appropriate.

Availability of documents at point of use.

One copy of the current policies shall be on display in the lobby area at the setting. All controlled copies of policies shall be in the form of a numbered set. The principal method of disseminating the policies shall be by the Preschool Website.

Each member of staff who is unable to access the current policies on the Pre-school website shall be loaned a copy of the policy set and will be required to sign to say that they have read them. The member of staff will retain this copy during their employment: the copy number of the set shall be recorded against their name, and updated policies and index sheets will be issued to them. It is the responsibility of the member of staff to update their set with the revisions issued to them.

Each parent who is unable to access the current policies on the Pre-school website shall be loaned a copy of the policies as soon as possible after their child starts at the setting. The parent will be required to sign to say that they have read the policies, either online or a loan copy. Parents will not be permanently issued with a controlled set of policies, but will be given a non-controlled copy to keep if they request it. Parents who have read the policies will be given notification of any changes so that they have an opportunity to refer to the latest revision in the lobby copy.

All documents that are issue as controlled documents shall be marked on each page

“**CONTROLLED DOCUMENT Do Not Copy**”

Uncontrolled documents shall be marked “**NON-CONTROLLED Will not be kept up to date**”

Distribution lists shall be retained showing the location of each controlled policy set, and a loan history shall be retained for each set that is issued on temporary loan.

Any other controlled documents shall be subject to distribution control as appropriate.

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Duchy Preschool & Playgroup, Bradninch				Page 3 of 4	
Document.	029	Control of Documents Policy			
Revision	02	Approved By	P Whateley	Approval Date	02/01/14

Document legibility and identification.

All controlled copies of policies shall be checked periodically (and especially prior to loan) to ensure that they are legible and that the document numbers and revision status are clearly shown. Any other controlled documents shall be checked as appropriate.

Identification and control of distribution of external documents.

External documents will usually be in the form of notices. These include Certificates of Insurance, Certificates of Registration with Ofsted, Health and Safety notices, and also information notices to parents. Most of these documents are controlled by the source authority, and have expiry dates. When a notice has expired it must be removed and replaced by the current version as appropriate. Where such a document is not adequately controlled by the source authority (for example Ofsted notices for parents containing Ofsted contact details), the setting will affix a label showing the date of receipt of the document, so that the current version can be identified. Other documents received from external sources will not normally be distributed, but may need their revision status logged, and are likely to need review for incorporation of changes into internal policies. Examples include PSLA draft constitution.

Prevention of unintended use of obsolete documents.

Controlled copies of policies shall be withdrawn and destroyed when replaced. Obsolete master copies of policies shall be stamped “OBSOLETE” on each page and filed separately from current master copies. Each controlled set of policies shall also contain an index list which will show the current revision status of each policy. The index sheet shall also be a controlled document, and each revision of the index sheet shall be dated, signed, and marked as a controlled document. Obsolete versions of other controlled documents shall be marked obsolete if retained.

Application of suitable identification to retained obsolete documents.

Any obsolete document that is to be retained shall be stamped “OBSOLETE” on each page.

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Duchy Preschool & Playgroup, Bradninch			Page 4 of 4	
Document.	029	Control of Documents Policy		
Revision	02	Approved By	P Whateley	Approval Date 02/01/14

Responsibility for periodic review	Facilities Sub-committee
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Document History

Rev	Changes	Date	Approval
00	Original Policy	03/10/11	Committee
01	Reviewed for AGM	15/11/11	AGM
02	Addition of scope statement. Reference to availability of policies on Website	02/01/14	Business Manager

*Non-controlled document when printed
or downloaded!*

Approved by (signature)	
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