Effective Document Control

Braden Snapp, Customer Success Manager

Why Document Control is Needed

- Compliance
- Customer Requirement
- Protect intellectual assets
- To do business (standardize processes)

From the BRC Standards:

"The control of all documents within food safety and quality systems (for both external and internal use) is important to ensure all your staff consistently apply the correct, up-to-date procedures.

These documents may include policies, procedures, work instructions, records, forms, specifications and data lists and any information that is written down and defined. The requirements for document control applies to both hard copies i.e. paper documents and **electronic documents** within the food safety and quality system."

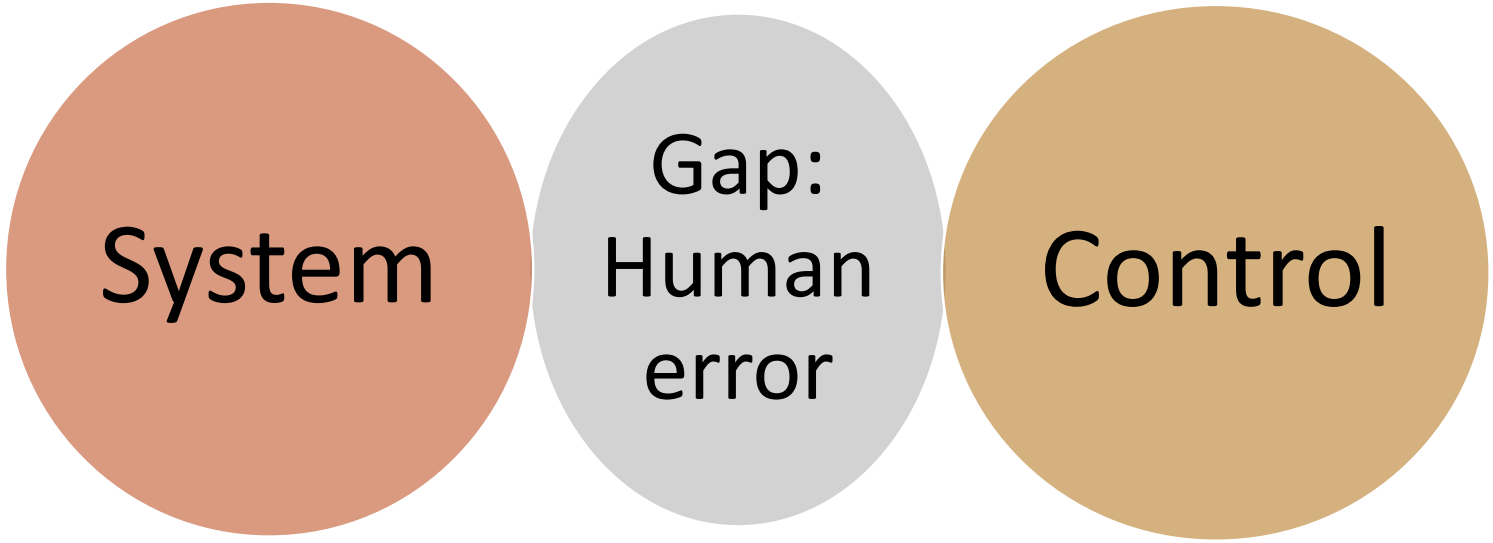
What is Document Control?

- Management of Documents to ensure
  - Correct Versions
  - Proper Reviews
  - Proper Availability
  - A Valid Audit Trail
  - Docs are Secure

How most companies currently practice Document Control

- Word
- Excel
- Paper Documents
- Folders
- Posted Procedures
- SharePoint

Main Problem with this Method



What are these problems and how does Safefood 360 solve them?

Problem 1: Paper, Paper Everywhere!

- Solution: Make it electronic!

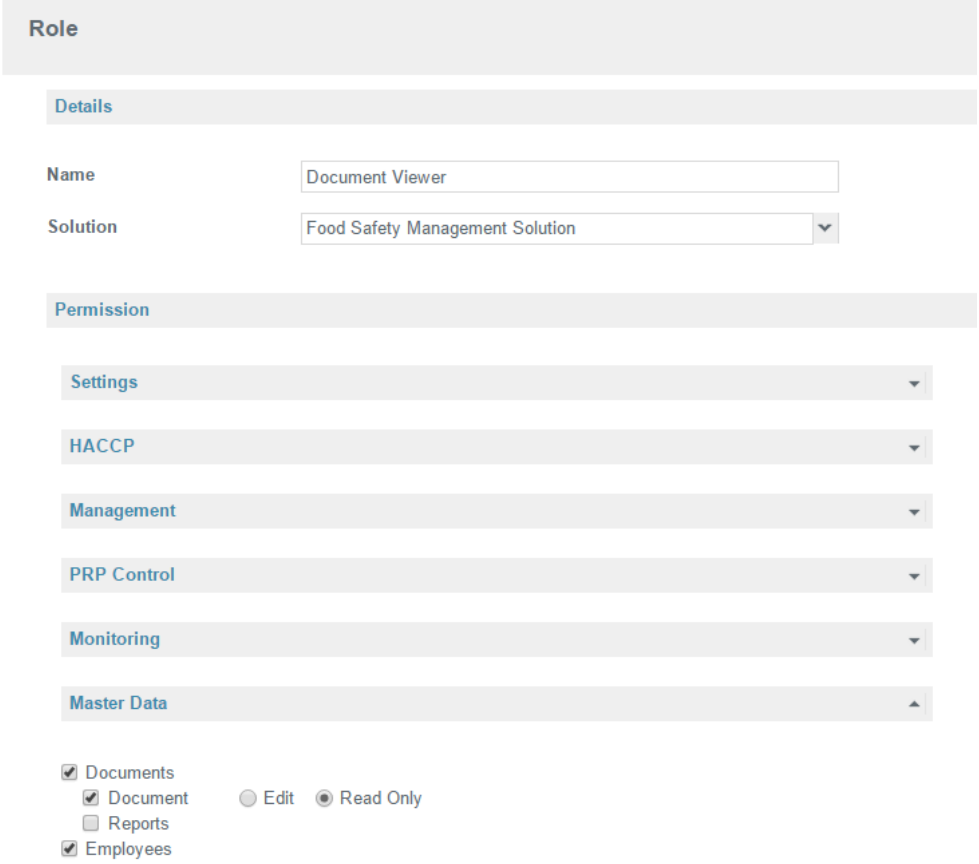
Problem 2: Version Control

- Which version is the current one?
- How do you verify that the current version is being used?

Solution: Only make the current version available

- Roles and Document Control
- Linking Documents to Records
- Linking Documents to Tests

User Roles and Versions



- Standard and Read Only
- VS
- Manager and Administrator
- Custom

Links to Procedures in Tests

Monitoring Record

OPEN - Awaiting Monitoring Record

No.	Date	Program Name	Scope
18	07/01/2016	Metal Detection Checks	Hourly checks of product being produced

Monitoring Record

Date 07/01/2016

Record

Shift	Check Time	2.0 Stainless Steel	2.5mm Ferrous	3.0mm Non-ferrous	Com

Add Line

When does Safefood 360 recognize a new version?

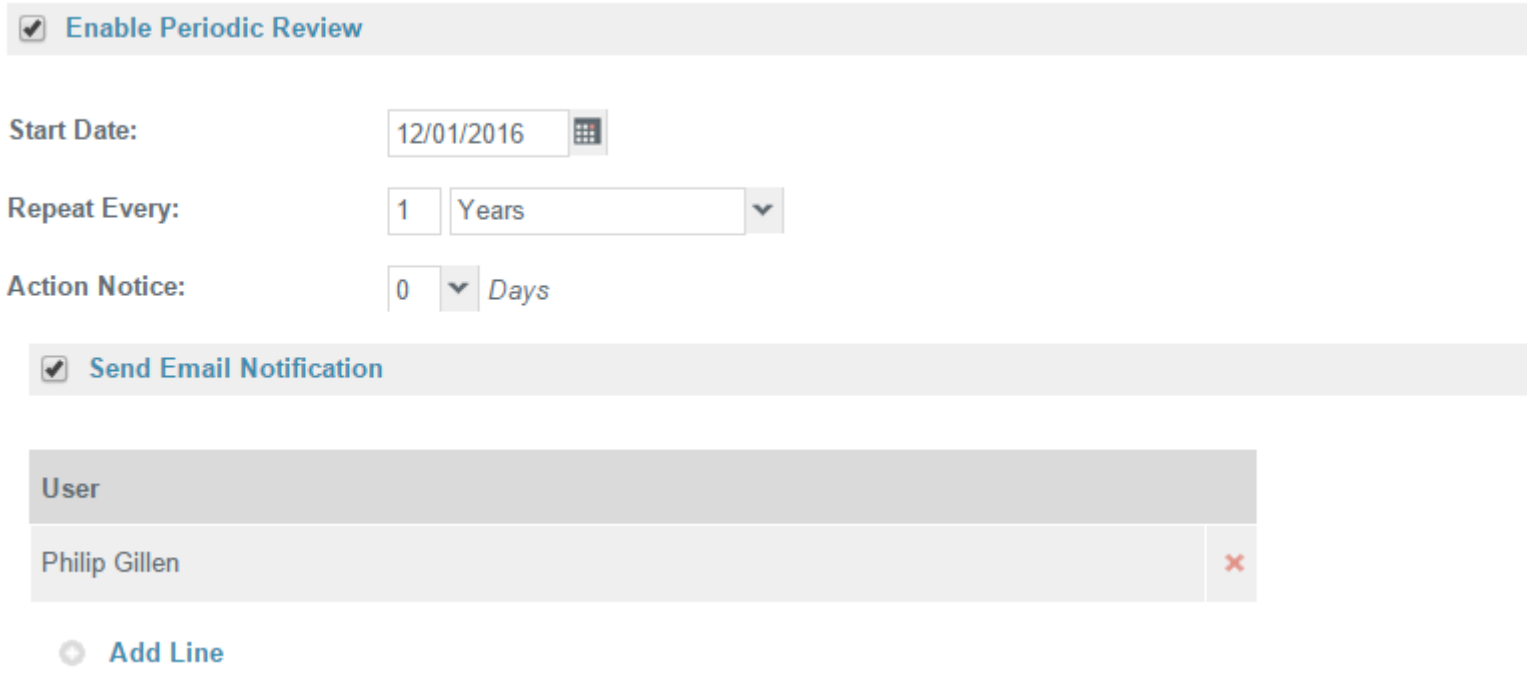
Problem 3: Review Schedule

- How do you verify that documents are being reviewed on a regular basis?
- How are the responsible parties notified?
- Who keeps track of all this?

Solution: Set up a schedule and/or Alerts

- Enabling Reviews
- Difference between Management Review and New Document Approval
- Responsible Person vs Reviews and Approvers
- Documents and Alerts
- Verify Users can receive alerts and emails

Schedule Document Reviews



Alerts for overdue Document Review

Alerts

Alert Criteria

Folder Alerts

New Folder Rename Delete

Module Management Review

Record Document Review

Risk Any

Stage Document Review

Status Open 5 days

Alert Details

Alert Description A document is overdue for review.

Send To

Contact	Dashboard	Email	SMS	Push
Johnson, Fred (Quality Manager)	☐	☑	☐	☐

Problem 4: Demonstrating Compliance

- How to show:
  - a list of all controlled documents indicating the latest version number
  - the method for the identification and authorization of controlled documents
  - a record of the reason for any changes or amendments to documents

Solution: Reporting and Audit Trail

- Workshop:
  - Using Safefood 360 Reports as a document register
  - Documents and the Audit Log
  - The Query Tool and Documents

Document Register

Dashboard | HACCP | Management | PRP Control | Monitoring | Master Data | Utilities

Report (Documents)

Status: All Status

1 of 1 | Find | Next

Document Register (All Status)

ABC Food Company Inc

No.	Date	Name	Version	Folder	Status	Last Review	Responsible	Next Review
1	2014-12-31	Supplier Template	1	Suppliers/Templates	Approval Not Required	2014-12-31	Fred Johnson	
2	2015-3-10	Supplier Questionnaire	1	Suppliers/Templates	Approval Not Required	2015-3-10	Fred Johnson	
7	2015-5-7	Material Questionnaire - Enzymes	1	Suppliers/Templates	Approval Not Required	2015-5-7	Fred Johnson	
8	2015-5-7	Belrose Ingredients :: D001 Supplier Questionnaire	1	Suppliers/Active/Belrose Ingredients	Awaiting Review(Sally Smith)	2015-6-11	John Doe	
9	2015-5-7	Belrose Ingredients :: D002 GFSI Certificate	1	Suppliers/Active/Belrose Ingredients	Awaiting Review(Sally Smith)	2015-12-21	John Doe	2016-5-10
10	2015-5-7	Belrose Ingredients :: D003 Quality System Certifications	1	Suppliers/Active/Belrose Ingredients	Awaiting Review(Sally Smith)	2015-12-21	Fred Johnson	2016-8-13

Keeping track of Supplier Documents

Supplier Document Control

- Workshop:
  - How to set up folders for Suppliers
  - How to submit a questionnaire for documents

Problems that aren't problems in Safefood 360

- Controlled Copies
- Document Control Procedure
- Authorizing stamps or signatures
- Two versions active

Problems with Paper

- Lines through checks, symbols “, doodles
- Pencil
- Photocopies illegible, at an angle
- Copies in lockers or desks
- Storage

Tips for an Effective Folder Structure

- Avoid Redundant or Similar Folder Names
  - “Procedures” and “Plans”
- Same sub-folders for all Suppliers
- Avoid Spaces and Characters at the beginning, unless wanted at the top
  - 01 vs 1 vs 10

Break large folders into smaller sub-folders

- < 100 items per folder ~ 5 seconds
- 100 to 200 items per folder ~ 10 to 15 seconds
- 200 to 250 items per folder ~ 11 to 20 seconds
- 300+ items = 30+ seconds
- Rendering items in folders seems to slow down significantly after 250 items

Common Folder Structures

- Projects
  - Project-Name
    - Specific Project Sub-folders
- Policies
  - Management or Administration
  - GMP
  - Workplace

- Standard Operating Procedures
  - Bottling
  - Line Changeover
  - Drying
  - QA
  - Maintenance
- Suppliers
  - Supplier Name
    - Sub-folders if needed
- Certificates

System
Safefood 360
Control