

Document History and Version Control Guidelines

Introduction

This document describes how document history and version control are used to record details of major and minor reviews of compliance documents in the UC Policy Library (UCPL).

Definitions

Major review – revision of a compliance document which substantially alters the substance and/or intent of the document.

Minor review – revision of a compliance document which does not majorly impact the substance or intent of the document.

Guidelines

Information and Records Management and Application to the UCPL

The iterations of compliance documents created in development and review processes for the documents that sit in the UCPL are covered by the General Disposal Authority for New Zealand Universities, under the [Public Records Act 2005 \(New Zealand Legislation website\)](#). The UCPL SharePoint site has been developed to capture the iterations of these documents easily, while the Document History and Version Control Tables at the end of each document are designed to present this information to readers at a glance.

Version Control Numbering (Major and Minor Reviews)

Version numbering is a simple way to represent how many major and minor revisions of a document have taken place. For UCPL documents, version numbering consists of a number followed by a period then two more numbers, i.e., x.xx. The number to the left of the period describes the number of major reviews (including both scheduled and unscheduled) from the date of original issue. The numbers to the right of the period describe the number of minor reviews or amendments from the time of issue, or the last major review.

The first version of every document is always 1.00, moving to 1.01, and so on, as minor revisions occur. When a major review occurs, the number to the left of the period will increase by one, while the numbers to the right of the period revert to '00'. For example, the 5th minor revision outside of a major review would be recorded as 1.05, while the version number would read 4.00 after three major reviews.

Major reviews are either scheduled reviews, which run every one to three years depending on the document in question, or reviews where an Approval Authority has approved significant changes to the content and/or intent of the document. Major reviews can be triggered outside of the review dates. Major reviews trigger SMT's involvement in the process.

Minor reviews generally involve a change to a document that does not majorly impact the substance or change the original intent of the content. Minor reviews may include updating of hyperlinks, formatting, altering of titles or tweaking an aspect of a document. Minor reviews do not trigger the requirement for the policy to be presented to SMT, but in some situations (where Council or the VC are approval authorities) the document may still be presented to SMT.

Document History and Version Control Table

This sits on the final page of all UCPL compliance documents, before any appendices. It records details of minor and major amendments (reviews) to University documentation over time. It allows anyone accessing the document to know if it is the most current version, when it was last amended, what was changed from the previous version, and who approved the document (including any amendments made to it). Any amendments made to the document will be noted here, alongside the name of the position that approved the amendment/s and the date this happened. The table structure is as follows:

Version	Action	Approval Authority	Action Date
All version histories start from 1.00 (minor amendments are then 1.01, 1.02, 1.03, etc. Reviews are 1.00, 2.00, 3.00, etc.)	Make this as succinct as possible. Include any position title changes, amendments or additions to the document and details. Give reasons for the amendment (e.g., 'Assistant Vice-Chancellor Research changed to Deputy Vice-Chancellor Research to reflect change in title').	Which approval authority in the University approved the amendment or review (e.g., Vice-Chancellor, Chair, University Council or Chair, Academic Board).	Written as Mmm/YYYY. This is the date the last amendment or review was approved (e.g., Apr 2016).

Document Footers

The footer of the front page and all subsequent pages need only be annotated with the document name, version number and page number (i.e., 'Page X of X'). All pages should also carry a copyright warning and disclaimer identifying it as a University approved document.

Example:

Official Information Policy v 1.00

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© This document is the property of the University of Canterbury. It has been approved at an institutional level by the relevant authority in accordance with the [Metapolicy](#). Once printed this document is considered an uncontrolled version. For the official, current version refer to the UC Policy Library.

Document History and Version Control Table			
Version	Action	Approval Authority	Action Date
1.00	Creation of original document and posting to UCPL	Senior Policy and Risk Advisor	Sep 2013
2.00	Review of document and updating to reflect wider review of all UCPL supporting documents.	Policy Unit.	Aug 2016
2.01	Minor updates	Policy Unit	Oct 2018