

Document Title: Written Control Document Development and Approval Procedure	1 of 24	Approval Date: 15.12.2025
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Written Control Documents - Development and Approval Procedure	
Introduction and Aim	
<p>To ensure that Cardiff and Vale University Health Board delivers its aims, objectives, responsibilities and legal requirements transparently and consistently, we will develop and describe our “ways of working” in policies, procedures and other written control documents. In this regard, the Management of Policies, Procedures and Other Written Control Documents Policy (UHB 001) has been produced.</p> <p>Unless otherwise stated, the phrase ‘<i>key documents</i>’ will be used in this procedure when a point is equally relevant to a range of control documents whether they be strategies, policies, procedures, guidelines etc.</p>	
Objectives	
<p>This procedure ensures consistency in the format, compilation, approval and dissemination of all control documents, so that they are:</p> <ul style="list-style-type: none"> • Developed and reviewed when required. • “Owned” – each document will have an owner who has responsibility for making sure that it is regularly reviewed and kept up to date. • Written in plain language so that they can be understood and people are clear of what is expected. • Subject to Equality and Health Impact Assessments (EHIA) where required. • Recorded, stored and archived in accordance with the UHB Records Management Retention and Destruction Protocol. • Appropriately co-produced and consulted on. • Considered and approved by the appropriate forum/senior officer (with delegated powers). • Shared with staff and stakeholders where required. • Supported by appropriate learning, education and development where required; and, • Available to the public, in line with Freedom of Information Act requirements and our Publication Scheme. 	
Scope	
<p>This procedure applies to all of our staff in all locations including those with honorary contracts.</p>	

Document Title: Written Control Document Development and Approval Procedure	2 of 24	Approval Date: 15.12.2025
Reference Number: UHB 242		Next Review Date: 15.12.2028
Version Number: 5		Date of Original Publication: 18.09.2014
Approved By: Audit and Assurance Committee		

In addition to the responsibilities detailed within the procedure, staff also have a responsibility for making sure that they meet the requirements of their role profiles and any other responsibilities delegated to them.

Equality and Health Impact Assessment	The procedure relies on the generic EHIA for Administrative-type policies.
Documents to read alongside this Procedure	UHB 001: Management of Policies, Procedures and Other Written Control Documents Policy.
	UHB 142: Records Management Policy.
	UHB 183: Records Retention and Destruction Protocol.
	UHB 069: Safety Notices and Important Documents Management Policy.
	UHB 228: Producing Written Information for Patients Guidance.
	UHB 246: Information Governance Policy.
Approved by	Audit and Assurance Committee

Accountable Executive or Clinical Board Director	Director of Corporate Governance
Author(s)	Corporate Archivist and Records Management Manger
<p><u>Disclaimer</u> If the review date of this document has passed please ensure that the version you are using is the most up to date either by contacting the document author or the Governance Directorate</p>	

Summary of reviews/amendments			
Version Number	Date of Review Approved	Date Published	Summary of Amendments
1	18/09/2014	24/09/2014	Content previously included within Management of Policies, Procedures and Other Written Control Documents Policy. The revised policy is in the new shorter format, and this procedure has been written in support of the new policy.
1.1	10/12/2015	16/12/201	Title of Appendix 2 corrected
2	30/11/2017	05/12/2017	Revised Procedure. Titles amended Reference to new EHIA that replaced EQIA Changes in Committee structure and inclusion of R&D

Document Title: Written Control Document Development and Approval Procedure	3 of 24	Approval Date: 15.12.2025
Reference Number: UHB 242		Next Review Date: 15.12.2028
Version Number: 5		Date of Original Publication: 18.09.2014
Approved By: Audit and Assurance Committee		

3	05/07/2022	09/08/2022	Revised to reflect change to UHB 001: Management of Policies, Procedures and Other Written Control Documents Policy. Definitions moved from appendix to main body. Document Approval process revised. Committee titles updated.
4	03/09/2024	11/11/2024	Full review of policy, amendments throughout, review of approval committees in line with current Health Board structure. Including additional appendices for clarity
5	15/12/2025	15/12/2028	Full review of policy, amendments throughout including tables removed, appendix pages changed and updated names of committees.

Contents Page

4	Definition of Terms
5	Responsibilities
7	Process for Drafting or Revising key documents
8	Approval for key documents
9	Document Format
10	Equality and Health Impact Assessments
13	Engagement and Consultation Process
11	Key Document review

Appendices

Appendix 1	Examples of Approving Committees/Groups	Page 13
Appendix 2	Templates for Documents	Page 15
Appendix 3	Steps for Creation, Consultation and Review	Page 18
Appendix 4	Audit and Tracking of Policies - AMaT	Page 20
Appendix 5	Example flow of document creation/amendment	Page 23

1. Definition of Terms

1.1 **Note.** These definitions are adapted from a range of sources. There are no single legal definitions, and the terms can mean different things to different organisations.

1.2 **Strategy.** A long-term plan designed to achieve particular goals or objectives. A strategy is often a broad statement of an approach to accomplishing these desired goals or objectives. A strategy may be supported

Document Title: Written Control Document Development and Approval Procedure	4 of 24	Approval Date: 15.12.2025
Reference Number: UHB 242		Next Review Date: 15.12.2028
Version Number: 5		Date of Original Publication: 18.09.2014
Approved By: Audit and Assurance Committee		

by policies and procedures. Strategies always require an Equality & Health Impact Assessment (EHIA).

1.3 Policy. A formal written statement of intent, describing the broad approach or course of action that the Health Board is taking with a particular issue. The formulation of policies allows the Health Board to produce formal agreements, which clearly define the commitment of the organisation and the obligations of individual staff. An Operational Policy is a statement outlining the objectives, principal functions and modes of operation of an entire hospital or a department, particular service or activity.

Policies are usually underpinned by evidenced based procedures and guidelines. Policies are mandatory and usually require an EHIA.

1.4 Procedure. A standardised method of performing clinical or non-clinical tasks by providing a series of actions to be conducted in an agreed and consistent way to achieve a safe, effective outcome. Procedures set out the operational processes to be followed to meet objectives, usually the objectives required by a strategy or policy. They must include reference to any evidence used. Procedures are considered mandatory. The equality impact of a procedure that supports a policy may be covered by that policy's EHIA, but consideration should always be given to the need for a specific EHIA.

1.5 Protocols. Protocols are an agreed framework that provides step by step guidance. They are different from policies and procedures as they lack the 'mandatory' element and by allowing for professional judgement, individual cases and competencies can play a role as they are flexible working documents.

Within a protocol it must be clear by whose authority is it being implemented, and what the scope of the protocol is. If a protocol is not to be followed it is necessary to record the alternative action that is to be taken and the rationale for this. Protocols may have potential to impact on people with protected characteristics and therefore consideration should be given to conducting an EHIA.

1.6 Guidelines. Guidelines give general advice and recommendations for dealing with specific circumstances. They differ from procedures and protocols by giving options of how something might be carried out. They are used in conjunction with the knowledge and expertise of the individual using them.

Guidelines are not prescriptive. However, whilst guidelines are not mandatory, it could prove difficult to defend a case where agreed guidelines had not been followed and the rationale for this has not been recorded or justified.

Document Title: Written Control Document Development and Approval Procedure	5 of 24	Approval Date: 15.12.2025
Reference Number: UHB 242		Next Review Date: 15.12.2028
Version Number: 5		Date of Original Publication: 18.09.2014
Approved By: Audit and Assurance Committee		

1.7 Standard. A standard is a statement, reached through consensus, which clearly identifies the desired outcome. A standard is usually used within audit as a measure of success. Standards may be published as a standalone document or may be incorporated into a strategy or policy.

Standard statements are accompanied by a description of the structure and process needed to attain specified observable outcomes.

Standards are not generally prescriptive; however, it could prove difficult to defend a case if a standard is not adhered to.

2. Responsibilities

2.1 Executive and Clinical Board Directors

2.1.1 The delegated responsibilities of Executive and Clinical Board Directors are set out in the Scheme of Delegation. They have responsibility for:

- a. Verifying that there is a need for a new written control document and ensuring that there is no duplication or conflict with other written control documents within their sphere of influence.
- b. Ensuring that appropriate written control documents are produced and kept up to date by identifying a document author (including reallocating responsibility if the author leaves or moves to another role).
- c. Personally checking for accuracy of content prior to submission to a committee/group for approval.
- d. Ensuring that there are arrangements in place to capture, respond to and review documents when external organisations (e.g. Health and Safety Executive, Royal Colleges) publish new and updated information which require action by the Health Board.
- e. Ensuring that consultation has taken place and impact assessments, including the equality and health impact assessment, have been completed where necessary. Where these have not been undertaken a reason for this will be provided.
- f. Ensuring that any training requirements specific to the document have been referenced.
- g. Establishing an appropriate date for review of the key document.

Document Title: Written Control Document Development and Approval Procedure	6 of 24	Approval Date: 15.12.2025
Reference Number: UHB 242		Next Review Date: 15.12.2028
Version Number: 5		Date of Original Publication: 18.09.2014
Approved By: Audit and Assurance Committee		

h. Ensuring that, where a process of audit and/or review has been agreed, this is maintained and reported on.

2.2 Document Authors

2.2.1 Authors are employees who have been given the task of writing or reviewing a key document. Employment documents should always have at least two authors i.e. a management representative and a staff representative.

2.2.2 Authors are responsible for the review of their documents. If an author leaves the Health Board or takes up a non-related post, the responsibility for the ongoing maintenance of the document is taken on by their replacement. Where no direct role replacement is appointed, responsibility reverts to the post holder's line manager. The Executive Director and Clinical Board Director will be informed of the situation to allow them to identify a replacement author if it is not appropriate for the responsibility to stay within that department.

2.2.3 Authors must:

- a. Liaise with Executive or Clinical Board Directors to make sure policies and written control documents are implemented appropriately and, where necessary, compliance with these documents is formally audited.
- b. Make sure that documents are reviewed in line with the review date or amended as a result of changes to practice, organisational structure or legislation.
- c. Work with the Executive/Clinical Board Director and the Corporate Governance to Team ensure appropriate engagement and consultation with relevant individuals and groups.
- d. Inform the Executive or Clinical Board Director of any learning, education, development or resource issues needing to be addressed prior to the granting of approval.
- e. Undertake the necessary impact assessments, including EHIA.
- f. Consider the findings and make sure that appropriate action has been taken in response to EHIAs.
- g. Send the approved document to the Corporate Governance Team for publication within **five working days** of approval by Board or Committee.

Document Title: Written Control Document Development and Approval Procedure	7 of 24	Approval Date: 15.12.2025
Reference Number: UHB 242		Next Review Date: 15.12.2028
Version Number: 5		Date of Original Publication: 18.09.2014
Approved By: Audit and Assurance Committee		

h. Following review ensure Audit tracking dates and actions on Audit Tracking software (AMaT) have been updated.

2.4 Corporate Governance

2.4.1 The Director of Corporate Governance is responsible for ensuring that the Health Board has arrangements in place to ensure effective development and management of key documents.

2.4.2 The Corporate Governance team undertake the function of organisation wide “Policy Process Manager” and can provide advice and assistance on any aspect of document development and review. The Corporate Governance Team can be contacted via governanceteam.cav@wales.nhs.uk.

2.4.3 The Corporate Governance Team maintains a register of all documents which are centrally recorded and will be able to advise if a document already exists. All of these documents are both published on the UHB Website and SharePoint site.

2.4.4 The Corporate Governance Team will arrange for draft documents to go for consultation, this will include posting across platforms and sharing directly with partner/working groups (to include Stakeholder reference group, Llais and Local Partnership Forums). The policy will then be posted online and shared for a 28-day consultation period, during this time comments are to be sent to the document author.

2.4.5 Following consultation period Corporate Governance team will remove the documented from the consultation pages and await the final version to be resubmitted following final approval being received from the relevant committee.

3. Process for Drafting or Revising Key Documents

3.1 Each pan-Health Board policy and written control document will be sponsored by a lead Executive Director. At Clinical Board/Directorate level written control documents will be sponsored by the appropriate Director or Clinical Board Director (see Appendix 2).

3.2 In accordance with the Equality Act 2010 (as may be amended), all strategies and policies will be subject to an EHIA (see Paragraph 6).

3.3 In the case of **employment policies**, (excluding those enforced from Welsh Government following national negotiations and other “All Wales policies”), staff representatives and management will jointly negotiate a draft policy for submission to the People and Culture Committee (or another

Document Title: Written Control Document Development and Approval Procedure	8 of 24	Approval Date: 15.12.2025
Reference Number: UHB 242		Next Review Date: 15.12.2028
Version Number: 5		Date of Original Publication: 18.09.2014
Approved By: Audit and Assurance Committee		

appropriate Committee if this is superseded) for approval. If there are any issues that cannot be resolved at Committee level, the Policy will be brought to the Board for final consideration and approval.

3.4 All Wales Policies are to be accompanied by a CAV UHB Policy Cover sheet which must include the appropriate Exec lead and Responsible individual to conduct future reviews to ensure the policy remains adequate to the Health Board. This will allow All Wales Policies to be controlled locally and not rely on National reviews to be conducted, demonstrating assurance to our employees that the policy is still relevant to our Health Board.

3.4 The development of policies and written control documents will be based on sound evidence, and take account of current legislation, mandatory requirements and national/professional guidance.

3.5 Sources of information used should be appropriately referenced or acknowledged.

4. Approval for Key Documents

4.1 Some “All Wales” policies are developed by the Welsh Government or by Health Boards and Trusts working together. The Health Board is often mandated to adopt these documents. Where this is the case, they will be reported to the Board or a Board Committee so that there is a record of their adoption.

4.2 Where policies relate to equitable access to safe and sustainable, high quality specialised and tertiary services (Relevant Services), the Board will delegate approval to the Joint Commissioning Committee.

4.3 All other strategies and policies will be approved in accordance with the guidance provided at Appendix 1. In accordance with Standing Orders the Health Board's top-level organisation structure and corporate policies require Board approval; Lead Executives/Authors who feel that their draft policy requires deviation from the guidance in Appendix 1 should discuss with the Corporate Governance Team.

4.4 Where a document requires only a small amendment which is not material to the aims or objectives of the document, e.g. to reflect a change in working practice, content of supporting documents etc., an interim review may be undertaken. This will be agreed in advance with the Corporate Governance Directorate to ensure that the completion of an interim review does not expose the Health Board to an increased level of risk. The Board will periodically receive an update on all controlled documents approved by committee or other appropriate group.

Document Title: Written Control Document Development and Approval Procedure	9 of 24	Approval Date: 15.12.2025
Reference Number: UHB 242		Next Review Date: 15.12.2028
Version Number: 5		Date of Original Publication: 18.09.2014
Approved By: Audit and Assurance Committee		

4.5 Once approved, documents will be published on the UHB Internet and SharePoint sites. Under limited circumstances it may be necessary to redact information from a document prior to publication on the Internet e.g. direct dial telephone numbers within the Major Incident Plan. The Committee/Group approving the document will determine if redaction is required. Where this has been agreed the reason and extent of redaction will be explained in the published document.

5. Document Format

5.1 Document templates have been developed which contain the mandatory sections for inclusion in policies and written control documents (See Appendix 3).

5.2 This Template must be used for all Health Board wide, Clinical Board or multi-departmental documents. Where a document is only applicable within a single Department or, for example consists of a flow chart, an alternative format is acceptable, and a “basic template” is also shown in Appendix 3. As a minimum the following principles must be followed:

- Document must have a clear heading.
- The scope and objectives must be defined.
- The status of the document must be clear e.g. guidance/mandatory requirement.
- Instructions/guidance must be logically recorded.
- Date of approval shown.
- Date for next review shown.
- Date of last review shown.
- Job title of Lead Exec supporting, demonstrating department ownership
- Author’s details.
- Pages numbered.

5.3 The language used for all documents should be plain English, using short sentences and where possible avoiding technical terms. If technical terms are used, they should be explained using a glossary or footnotes.

5.4 Policies, procedures and other written control documents will not be routinely translated into other languages. However, where staff are aware that this may cause difficulty for patients or their families, they will ensure that the content is explained to them by an interpreter, translated if necessary or available in accessible formats (e.g. e-readers for the visually impaired).

5.5 In accordance with the requirements of the Data Protection Act 2018 (as may be amended), the names of individuals will not be contained within

Document Title: Written Control Document Development and Approval Procedure	10 of 24	Approval Date: 15.12.2025
Reference Number: UHB 242		Next Review Date: 15.12.2028
Version Number: 5		Date of Original Publication: 18.09.2014
Approved By: Audit and Assurance Committee		

policies and written control documents. Individuals with particular responsibilities will be identified by their job title only.

5.6 Certain key documents may require the collection and processing of personal data as defined and regulated by personal data legislation as applies in Wales and /or the UK (including, without limitation, the Data Protection Act 2018 and the UK General Data Protection Regulation (UK GDPR)). Authors and sponsoring Executive Directors must ensure that the proposed key documents comply with these requirements, liaising with The Digital and Information Technology Directorate as required.

5.7 If the Health Board is adopting an externally approved document (such an All-Wales Policy) it will not need reformatting providing it meets the standards set above. These documents will be provided a CAV policy cover sheet, given a reference number, dated, recorded and uploaded as if they were a Health Board authored document.

6. Equality and Health Impact Assessments

6.1 The Equality Act 2010 requires the undertaking of Equality and Health Impact Assessments, and all Health Board policies will require the completion of such **before** the policy is consulted upon.

6.2 These assessments determine whether a 'policy' will affect people differently on the basis of their 'protected characteristics': age, disability, gender reassignment, marriage or civil partnership, pregnancy or maternity, race, religion, sex or sexual orientation and if it will affect their human rights. It also takes account of Welsh Language issues. It is designed to ensure that Cardiff and Vale University Health Board take into consideration the needs of all individuals who work for us and/or access our services.

6.3 Health Impact Assessment (HIA) is a process that considers how the health and well-being of a population may be affected by a proposed action, be it a policy, programme, plan, project or a change to the organisation or delivery of a particular public service. Some impacts of policies on health may be direct, obvious and/or intentional, whilst others may be indirect, difficult to identify and unintentional. HIA is a systematic, objective, flexible and practical way of assessing both the potential positive and negative impacts of a proposal on health and well-being and suggests ways in which opportunities for health gain can be maximised and risks to health minimised. HIA looks at health in its broadest sense, using the wider determinants of health as a framework.

6.4 Where a procedure or other written control document has been developed in support of a policy it may not be necessary to undertake a further EHIA. If an EHIA has not been completed the reason for this will be explained at the

Document Title: Written Control Document Development and Approval Procedure	11 of 24	Approval Date: 15.12.2025
Reference Number: UHB 242		Next Review Date: 15.12.2028
Version Number: 5		Date of Original Publication: 18.09.2014
Approved By: Audit and Assurance Committee		

beginning of the document. Where an EHIA has been completed the impact will be included in the document.

6.5 EHIAs will be published as part of the consultation process, and they will be available on our internet and intranet sites alongside the relevant policy or written control document. A generic EHIA for Administrative-Type Policies has also been produced and formally agreed and can be used in support of the review and development of such policy types. This is available on the Policies page of the Intranet.

7. Engagement and Consultation

7.1 Written control documents must not be written in isolation. Engagement and consultation on all key documents occur with the target audience including appropriate stakeholder, service user/carer, managerial, clinical and staff representation. Where appropriate, documents should be co-produced with that target audience.

7.2 The Health Board is developing a range of mechanisms to involve patients, carers and members of the public in its work. This will strengthen the stakeholder involvement with the Health Board, demonstrate our commitment to working with the local community, and develop our services and policies jointly. If required, authors should contact the Assistant Director of Patient Experience and the Assistant Director of Planning for advice and assistance in identifying the appropriate groups/individuals for co-production and consultation.

7.3 When a final draft has been developed the formal consultation can start. The consultation period should be a minimum of **28 working days**.

7.4 The policy author should send the document and equality and health impact assessment (if applicable) to the Corporate Governance Team who will arrange for the documents to be uploaded onto the Health Board's Written Control Documents Consultation Page on the Intranet and SharePoint and directly submit to partner/working groups (to include if appropriate, Stakeholder reference group, Llais and Local Partnership Forums).

8. Key Document Review

8.1 When drafting or reviewing a document the author should consult with the sponsoring executive to determine the most appropriate date for the key document to be reviewed.

8.2 Such consideration should be cognisant of any specific requirements imposed by statutory, regulatory or professional bodies, and the likelihood of a rapidly changing context or background to the key document.

Document Title: Written Control Document Development and Approval Procedure	12 of 24	Approval Date: 15.12.2025
Reference Number: UHB 242		Next Review Date: 15.12.2028
Version Number: 5		Date of Original Publication: 18.09.2014
Approved By: Audit and Assurance Committee		

8.3 The maximum 'life' of a key document before review will be three years from the date of publication. See appendix 5b for process flow.

Document Title: Written Control Document Development and Approval Procedure	13 of 24	Approval Date: 15.12.2025
Reference Number: UHB 242		Next Review Date: 15.12.2028
Version Number: 4		Date of Original Publication: 18.09.2014
Approved By: Audit and Assurance Committee		

Appendix 1: Example of approving Committee/ Group

See Appendix 3 for committee selection during approval and review process

Example Subject Area	Approving Body	Subgroups / committees
Financial Governance Capital	Finance & Performance Committee	Capital Management Group
Corporate Governance Counter Fraud	Audit & Assurance Committee	Digital & Infrastructure Committee IMT Capital groups Information Governance Sub Committee
Respect & Resolution Employee Wellbeing and Stress Environmental Management Food Safety and Hygiene	People & Culture Committee	Policy sub-group Operational Health and Safety Group Fire Safety Group
Clinical Governance / Patient Experience / Quality and Safety Consent to Examination or Treatment Nutrition and Catering Patient and Public Information Mental Health Policies	Quality Committee	Mental Health Committee Clinical Boards (Quality, Safety & Experience Groups) Clinical Safety Groups Clinical Effectiveness Committee Medicine Safety Group Joint Research Governance Group

Document Title: Written Control Document Development and Approval Procedure	14 of 24	Approval Date: 15.12.2025
Reference Number: UHB 242		Next Review Date: 15.12.2028
Version Number: 5		Date of Original Publication: 18.09.2014
Approved By: Audit and Assurance Committee		

		<p>RADAR Group</p> <p>CAVUHB Transfusion Group</p> <p>Consent Group</p>
<p>Standing Orders</p> <p>Major Incident Plan</p> <p>Equality, Diversity and Human Rights</p> <p>Fire & Disaster Planning</p> <p>Fundraising and Investment Policies</p>	<p>CAV UHB Board</p>	

Document Title: Written Control Document Development and Approval Procedure	15 of 24	Approval Date: 15.12.2025
Reference Number: UHB 242		Next Review Date: 15.12.2028
Version Number: 4		Date of Original Publication: 18.09.2014
Approved By: Audit and Assurance Committee		

Appendix 2

TEMPLATES FOR DOCUMENTS

The template is designed for use when developing policies, procedures and other written control documents. It may not be suitable for all documents but any deviation will be agreed with the Corporate Governance Team. Documents should be formatted in line with Corporate Style as follows:

Electronic format	Development - Microsoft Word Publishing - PDF Read only (this will be arranged Corporate Governance Team after the Policy reference number has been added.
Document Style	Download the Controlled Document Template here
Audit trail	Record information regarding consultation during development.
Body text	Arial 12
Headings	Arial 12 (Lower Case)
Tables and charts	Arial (size as appropriate)
Flow charts	Use Standard Flow Chart Symbols where possible
Use of bold	Headings only or to emphasise text
Alignment	Left Justified
Line spacing	Paragraphs – Single
Paragraph spacing	One line between paragraphs and section headings
Underlining	None
Contents page Contents page if >3 pages	As template Use judgement - help reader to find relevant information more easily
Staff Names	Use titles only. No names
Logo	Use UHB logo as incorporated in corporate template
Headers and footers	Arial 9
Margins	Top and bottom of page 2.54 cm, sides 3.17cm
Document Title	To be included in the header on every page after first page

Document Title: Written Control Document Development and Approval Procedure	16 of 24	Approval Date: 15.12.2025
Reference Number: UHB 242		Next Review Date: 15.12.2028
Version Number: 5		Date of Original Publication: 18.09.2014
Approved By: Audit and Assurance Committee		

Page numbering	To be included in the header on every page after first page. It will include the page number and total number of pages (page x of x)
Bullets	<ul style="list-style-type: none"> • Use standard bullets only, as they do not always format across different systems
Abbreviations	State in full in first usage with abbreviation in brackets
Printing	A4 / double sided
Hyperlinks	<p>Hyperlinks should be considered for use in key documents when this will reduce the volume of a document or in any other way improve the reader's experience and understanding.</p> <p>However, consideration should be given to the anticipated longevity of a link to a site external to C&V UHB. If it is assessed that a link has reasonable potential to change it should not be used. All hyperlinks should be preceded or superseded with a full reference to the external information source to enable access if the hyperlink fails.</p> <p>Hyperlinks in Approved Documents: Authors are responsible for ensuring the accuracy of hyperlinks to external sites when submitting approved documents to Corporate Governance for publishing. If hyperlinks to existing C&V UHB published key documents are required these will be inserted by the Corporate Governance Team prior to publishing; authors should clearly indicate which key documents require this action.</p>
Referencing	All reference material should be listed in full at the end of every document in Harvard style.
Glossary of terms	All documents need to be user friendly. They will be read by staff and members of the public. Therefore, all necessary abbreviations, technical terms, jargon and specific wording must be clearly explained to the reader.

Document Title: Written Control Document Development and Approval Procedure	17 of 24	Approval Date: 15.12.2025
Reference Number: UHB 242		Next Review Date: 15.12.2028
Version Number: 5		Date of Original Publication: 18.09.2014
Approved By: Audit and Assurance Committee		

	Where possible always use plain English. Information to help with this is available on the Plain English Campaign web site .
Version Control	Reference Number will be provided by the Corporate Governance Department. Documents to state 'Draft' as watermark whilst in development together with version number of draft e.g. Draft 1.

Document Title: Written Control Document Development and Approval Procedure	18 of 24	Approval Date: 15.12.2025
Reference Number: UHB 242		Next Review Date: 15.12.2028
Version Number: 5		Date of Original Publication: 18.09.2014
Approved By: Audit and Assurance Committee		

Appendix 3

Steps for Creation, Consultation and Review

Consultation Process

1. **Policy Lead** contacts the relevant **Corporate Governance Officer (CGO)** that supports the Committee that the policy concerns, enclosing the policy/documents and completed EHIA.
2. **CGO** uploads the documents to the **consultation portal**.
3. **Policy Lead** acts as the point of contact for feedback during the consultation period. Feedback is collected and incorporated before final approval.
4. After **28 days**, the CGO removes documents from the **consultation portal** and notifies the Policy Lead that the consultation period has expired.
5. Policy lead to add any final amendments from consultation feedback and submit final draft to CGO to schedule the policy for the appropriate Board/Committee approval via the **Forward Plan**.
6. Following approval at Board/Committee, CGO to notify Policy Lead and publish document across the Health Board repositories (SPOL, Web and AMaT). If policy is not approved CGO to provide the relevant feedback to policy lead.

Update & Approval route

1. Once updated, the policy must be submitted to the relevant Committee or Board for approval.
2. Guidance on the approval route is available in the referenced procedure.
3. Controlled documents with no amendments can be approved and review date carried forward by the Author (you must ensure relevant commentary is added to the "Summary of reviews/amendments table")
4. Controlled documents with minor amendments can be reviewed and approved between the Exec Lead and Policy Author (you must ensure relevant commentary is added to the "Summary of reviews/amendments table")
5. Procedure/Guidelines with substantial changes to be submitted to appropriate sub-committee for approval
6. Policies with substantial changes to be submitted to appropriate Board/Committee for approval

Document Title: Written Control Document Development and Approval Procedure	19 of 24	Approval Date: 15.12.2025
Reference Number: UHB 242		Next Review Date: 15.12.2028
Version Number: 5		Date of Original Publication: 18.09.2014
Approved By: Audit and Assurance Committee		

Post-Approval and Upload

1. Following approval at Board/Committee CGO to notify Policy Lead and publish document across the Health Board repositories (SPOL, Web and AMaT). If policy is not approved CGO to provide the relevant feedback to policy lead.
2. The **Corporate Governance Officer** will notify the Policy Author.
3. The Policy Author completes **final formatting checks**.
4. The Corporate Governance Officer uploads the new policy to **AMaT** and sets the next review date (default: **3 years from approval**).
5. If a different review cycle is required, please inform Corporate Governance.
6. AMaT will automatically notify the Policy Author when the policy is due for review.

Document Title: Written Control Document Development and Approval Procedure	20 of 24	Approval Date: 15.12.2025
Reference Number: UHB 242		Next Review Date: 15.12.2028
Version Number: 5		Date of Original Publication: 18.09.2014
Approved By: Audit and Assurance Committee		

APPENDIX 4

Audit and Tracking of Policies

About AMaT

AMaT is an innovative system designed to make auditing easier, faster, and more effective. Auditing is a vital part of healthcare, helping to improve patient care, manage risk, and comply with reporting requirements. But it is also time-consuming, labour-intensive, and often slow to deliver results and actions.

AMaT was created with NHS clinical audit teams to give you more control over your audit activity and to provide real-time insight and reporting for clinicians, wards, audit departments and healthcare trusts.

AMaT is easy to implement, and simple to use. Data can be input and accessed in real time on a smartphone, tablet, laptop or desktop computer, giving healthcare staff increased flexibility and mobility - and more time to spend with patients.

AMaT is intuitive and perfectly aligned with our processes whilst being designed around a dashboard system, which means the results of your audit and improvement data can be seen at a glance in easy-to-read graphical presentations.

Whether you need to share audit results trust-wide, or tailor them for specific specialities and divisions, AMaT will help you increase awareness and education throughout your organisation.

The dashboards provide clear visuals for your audit data, giving you real-time insight into how well you're performing, and providing the ability to react swiftly to implement change and improvements where necessary.

AMaT is intuitive and simple to use, it works seamlessly with all elements of your audit process: upload files from other sources; create pro formas and questionnaires; send instant email notifications to co-workers for their input; submit reports to managers and generate completion certificates - from your desktop or mobile device.

The AMaT Module that policies are stored under is Inspections Recommendations and Actions




Inspections

X

AMaT enables organisations to manage all recommendations, information requests, actions and evidence before, during and following an inspection.

AMaT intrinsically provides the following benefits for inspections:

- ✓ Instant overview of the progress of all recommendations and actions
- ✓ Approval process for actions and evidence of completion
- ✓ Linking themes and regulations to recommendations
- ✓ Timely notifications and overdue alerts to ensure evidence and actions are completed



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On signing in to AMaT you will always be greeted by your own 'To Do List'

Hello, you have overdue items in your TO DO LIST.

X

Please click on the red alert triangle in the top right corner of each page to view and access your overdue items.

VIEW MY TO DO LIST

GO TO HOMEPAGE

From here you can either view listing or close to access the AMaT System

Centrally held Policies are located under Inspections Recommendations and Actions, with a sub filter on Origin by Corporate Governance

University Health Board

HOME
Dashboards
Your inspections
Inspection actions

Inspections dashboard

GENERATE PDF

Filter inspections

To filter the inspections, please use the filters provided.

Inspection origin:

Corporate Governance
⌵

Inspection type:

Any inspection type
⌵

Action status:

Any action status
⌵

Recommendation status:

Any recommendation status
⌵

Completed inspections?:

SEARCH

CLEAR

Once Origin has been selected, click search to view all Policies, these are stored in order of policy reference i.e. UHB001

Inspections

We have found 185 inspections that match your search criteria.

Code	Title	MD	SD	WN	PIR	Actions								View
						In progress	Partially complete	Partially complete (Overdue)	Overdue	Unable to complete	Completed (awaiting approval)	Rejected	Completed	
Corporate Governance/2022/313	UHB 001 - Management of Policies	0/1 (0%)	0	0	0	0	0	0	1	0	0	0	0	VIEW
Corporate Governance/2016/314	UHB 002 - Data Protection Policy	0/1 (0%)	0	0	0	0	0	0	1	0	0	0	0	VIEW
Corporate Governance/2020/316	UHB 003 - Child Abduction Policy	0/1 (0%)	0	0	0	0	0	0	1	0	0	0	0	VIEW
Corporate Governance/2021/317	UHB 004 - MRSA	0/1 (0%)	0	0	1	0	0	0	0	0	0	0	0	VIEW
Corporate Governance/2014/318	UHB 005 - Interpreter Services	0/1 (0%)	0	0	0	0	0	0	1	0	0	0	0	VIEW

Each policy will have 1 Recommendation and 1 Action assigned to it

21

Document Title: Written Control Document Development and Approval Procedure	22 of 24	Approval Date: 15.12.2025
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Recommendation

Policy must be reviewed 3 months before expiry date

Action

- 1) Download the policy version and share with the Exec lead and Authors for review
- 2) Provide an update to the relevant Committee / Board
- 3) Once the policy is approved, upload the new policy onto AMaT and amend the action dates to carry any recommendations/actions forward

The policies on AMaT are saved as Word documents for ease of review and update

There is a Notes section within AMaT that can track all actions conducted for each Policy. All Policy correspondence is to be conducted within AMaT this will save the history of movement and reviews whilst notifying the Inspection Team members that Actions are being conducted/completed

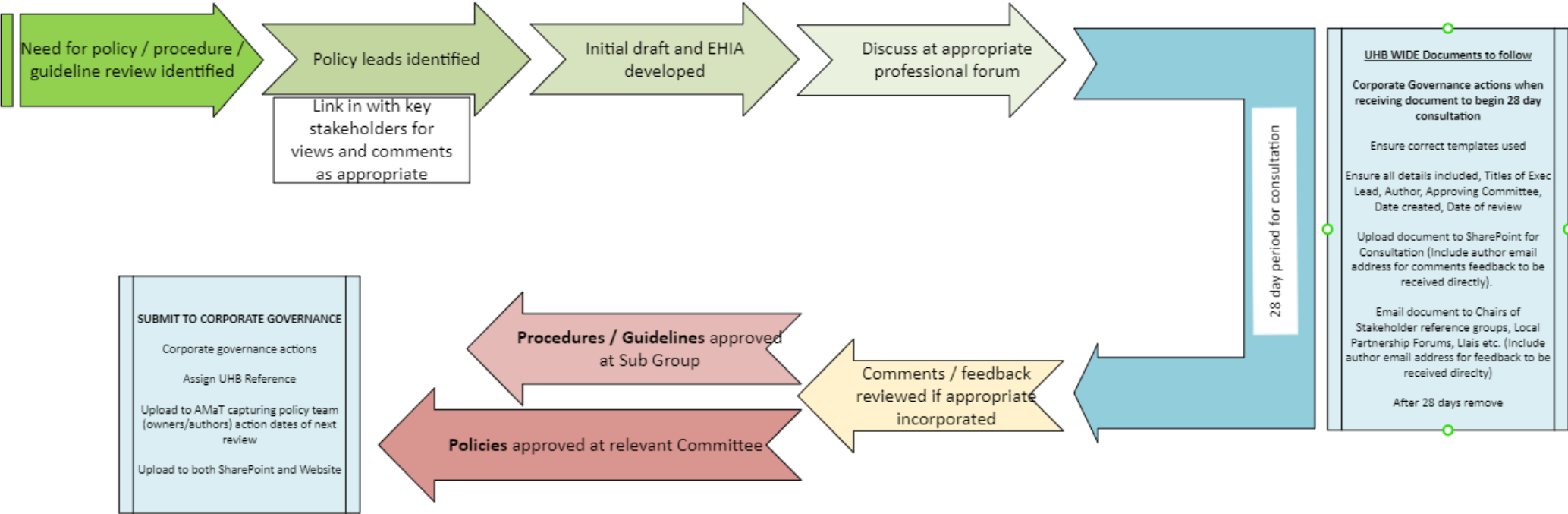
Benefits

1. Increased transparency
2. Ownership retained by Author and/or Executive Lead
3. Each policy will have an Inspection Team consisting of Author/s Executive Assistant Corporate Governance officers and where appropriate Clinical Directors, Executives etc. there is no restriction to volume of users who can be assigned to manage the life of a policy
4. The Inspection Team will receive Automated Notifications when a policy is due for renew, these are set 3 months prior to review date
5. Should the 'Author' have left the Health Board when a review is required the remaining Inspection Team members will add additional members to assist the inspection team and ensure the review is conducted in a timely manner
6. A wider team action removes the onus from an individual and shared responsibility to ensure no policies are forgotten

Document Title: Written Control Document Development and Approval Procedure	23 of 24	Approval Date: 15.12.2025
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Appendix 5a

Example flowchart of document creation (See table 1, page 9 for detailed guidance on creation of new document)



Document Title: Written Control Document Development and Approval Procedure	24 of 24	Approval Date: 15.12.2025
Reference Number: UHB 242		Next Review Date: 15.12.2028
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Appendix 5b

Example flowchart of document creation (See table 1, page 9 for detailed guidance on reviews and amendments)

