

Managing critical controlled documents for energy and resources

Elevate human potential and drive growth while mitigating risk



Contents

Industry backdrop	3
The OpenText vision for mitigating risk with modern document lifecycle management	4
Managing controlled documents and risk mitigation	5
Document training: Ensuring compliance and enabling operations	5
Embracing the future with quality information	6
Next steps with OpenText	7

In 2023, more than \$1 billion in fines were levied against utilities, oil and gas, and in immediately adjacent markets in the United States.¹

Industry backdrop

The world is in a race for energy and other critical commodities, such as clean water, rare earth minerals, and chemicals. Global power demand is expected to increase by a third in the next 10 years.² Global LNG demand is expected to grow by 50 percent by 2040.³ Production volumes of seven key chemicals are projected to rise nearly 70 percent through 2050.⁴ The outlook for key mining minerals is expected to more than double by 2030.⁵

Progress in this race cannot come at the expense of increased operational or compliance risk. According to Gartner, 39 percent of legal, compliance, and risk leaders say ensuring their compliance program strategy can keep pace with regulatory requirements is a top five priority.⁶

This paper explores how operators, manufacturers, and service companies across oil & gas, utilities, chemicals, and metals & mining industries can mitigate risk and ensure compliance through modern critical document control and best practices.

1 Good Jobs First, Violations Tracker

2 S&P Global, Five trends that will define global power markets in the next 10 years

3 Shell, Global LNG demand to grow beyond 2040

4 pwc, Sustainable chemicals pathways

5 IEA.org, Outlook for key minerals

6 Gartner, Gartner Survey Shows Legal & Compliance Leaders Want to Increase Their Impact on Company Strategy, 2024

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“In the past, we might not be able to find all the information because it was stored in someone’s files or deep down in their hard drive. For us, being able to capture everything and comply with all our regulatory requirements is a huge benefit. If we are not managing information correctly, either not keeping it long enough or keeping it too long, it can impact us. Having Extended ECM for SAP Solutions and being able to automate the records management process was very important.”

– Enterprise Content Manager,
Snohomish County PUD

The OpenText vision for mitigating risk with modern document lifecycle management

The energy and resource sector is one of the most asset-intensive industries in the world, with engineering and operations teams generating a majority of enterprise data and information. Both areas prioritize high-quality outcomes and workplace safety. In operations, standard operating procedures (SOPs), manuals, and templated procedures ensure consistency, safety, efficiency, and effectiveness.

Standardizing document lifecycle processes across departments handling controlled documents (SOPs, manuals, policies, etc.) creates opportunities to eliminate waste in information generation and usage during operations.

Across business functions, controlled documents detail tasks, define terms, guide expectations, and influence behaviors. The lifecycle of sustaining these documents should not be different based on business function, department, or organization control.

A common lifecycle process for all controlled documents will lower costs, improve quality, reduce risks, and make it easier to demonstrate compliance. All accountable authorities and document owners benefit from automation, faster content updates, and simplified governance. Good targets for this method include employee codes of conduct, controls for ensuring SoX compliance, SOPs, templated forms for use in operations, business continuity plans, and policies to demonstrate governance.

OpenText’s vision for companies is to mitigate a majority of regulatory and legal risk by implementing a standard productized document lifecycle process for all controlled documents.

This enables continuous improvement, leading to efficiency gains, reduced maintenance/upgrade costs, waste elimination, and reduction of risk—resulting in considerable soft cost savings and potential for further reduction in hard costs. OpenText can support your work towards this goal with modern document lifecycle management and best practices.



“OpenText Extended ECM gives us a great sense of confidence when it comes to knowing what records we have, where they are stored, for how long they will be kept, and who can access them.”

– [Lisa Aragon](#),
[Director, Ethics & Compliance](#),
[ITC Holdings](#)

Managing controlled documents and risk mitigation

A structured approach is needed to identify, quantify, and mitigate risks. If any of the following apply to your organization, you could benefit from a best-practice approach to controlled document lifecycle management:

- Controlled documents spread across multiple locations and individuals
- Different processes used by different business units/departments for managing controlled documents
- Unclear understanding of the current version of truth for controlled documents
- Controlled document types with varying formats and standards
- Audit findings highlighting a lack of control over controlled documents
- Safety incidents caused by outdated SOPs
- No audit or ownership trail for controlled documents through review and approval steps

Managing the lifecycle of critical controlled information assets (policies, SOPs, manuals, etc.) assures management and regulators that priorities align with worker, customer, community, and environmental safety.

Controlled documents, a mix of structured and unstructured information, originate from various departments. Critical controlled documents guiding individual behavior on company assets often take the form of text, video, audio, or virtual reality. These assets require lifecycle controls from creation to disposal (or obsolescence) to ensure safety, understanding, compliance, and sustainability.

Standardizing document structure and process outputs across functions promotes consistent steps, outputs, clearer content interpretation, and predictable outcomes. An agile enterprise leverages critical controlled documents sourced from a system of truth, with access granted at the time, and location of need. Changes to this content are part of the life-cycle process, which includes a change request sub-process to adjust for new requirements.

Document training: Ensuring compliance and enabling operations

Document training plays a vital role in ensuring that employees remain informed and compliant with the latest controlled documents. Unlike traditional learning and development (L&D) training focused on career progression, document training directly supports operational enablement by delivering critical information to the right employees at the time and place of need.

Document training can be used to assign and track employee acknowledgment of new or updated controlled documents. This “read and sign” process captures compliance and ensures that employees are aware of the latest changes.

“OpenText will be so useful during audits, helping to minimize time burdens that could severely disrupt our operations.”

– [Ted Tomes of Spatial Data and Document Control, Western Midstream](#)

By implementing a standardized document training process, organizations can improve safety, demonstrate compliance, reduce costs, and mitigate risks. The process should enable the consistent tracking of training (read & sign) results across relevant controlled documents, regardless of whether they are new or existing ones undergoing changes.

Embracing the future with quality information

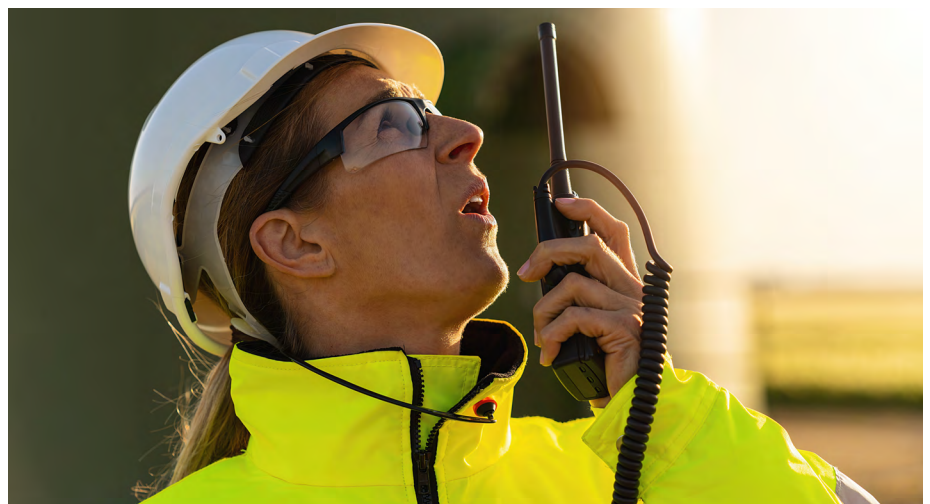
The promises of AI, automation/robotics, analytics, and other emerging technologies all rely heavily on information. The quality of their outputs and outcomes correlates strongly with information curation. The principle of “garbage in, garbage out” still holds true.

To extract maximum value from information, a well-structured and managed controlled document lifecycle is essential. Companies can no longer rely on hoping that historical data will be useful in facilitating highly automated processes with high-quality outputs. While language learning models can process vast amounts of poorly captured data, validation and verification remain manual when information is chaotic.

The focus should be on curating high-quality unstructured content to ensure the best possible output from AI tasks. Time is precious, and if 80 percent of a company’s risk lies in 20 percent of its unstructured content, it’s wise to control and curate that 20 percent, enabling new opportunities from quality content rather than gambling with chaos.

OpenText’s leading content management business process solutions can be configured to your process needs. This helps streamline business outcomes, improve efficiency, mitigate risk, and drive growth. Another residual benefit is the outputs of the solution are high quality curated content, providing useful input into AI opportunities. Some document control use cases using generative AI include;

1. Determining employee preparedness for work execution.
Given a set of tasks, has the employee read the most recent version of the controlled documents related to tasks(s)?
2. Providing a workplace safety prediction method.
3. Enabling field service personnel to access the latest SOP versions on demand through a conversational model with the system of record for the SOPs.





Next steps with OpenText

Together, we can outline a vision and identify opportunities to quickly improve your operational excellence KPIs and reduce risk. OpenText helps organizations curate their content, ensuring the best possible outcomes from these technological advancements.

Below are suggested next steps to ensure your operational excellence journey is in lock step with your information management journey:

- **Introductory meeting**

Bring together the OpenText Global Account Director or Senior Account Representative with your organization's business owners of high-risk areas in operations, regulatory compliance, or employee accountability. These would be VPs or executive directors of operations, chief compliance officer, HR VP, or executive directors who are responsible for operational excellence decisions.

- **Controlled document workshop**

Led by our business value consulting team, this is a day-long information exchange. OpenText will work with key staff in operations and critical supporting lines of business with accountability for sustaining controlled documents to a legal standing standard. The guided session will harness insight about current approaches, obstacles, and operational excellence initiatives.

We'll provide an overview of standard business process approaches for controlled documents and information management techniques that include best practices and how technologies can support operational excellence initiatives.

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