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**0 SHOWING CONFORMANCE**

**0.1 Options**

- 0.1.1 There are three options to demonstrate conformance when applying this system procedure:
- a. Follow the defined system procedure using the recommended guidance and tools, including allowed variations and options;
  - b. Use an equivalent process and tool set generated elsewhere and document evidence of procedural equivalence;
  - c. Use an equivalent bespoke process and tool set for the project and document evidence of procedural equivalence.

**1 INTRODUCTION**

- 1.1.1 The POSMS and POEMS are frameworks for delivering project level management systems and continuous improvement in safety and environmental performance. Rigorous and careful control of documents and storage of records is key to developing a successful management system.
- 1.1.2 Within this procedure the following definitions are used:
- Document – Any information produced as outputs of POSMS and POEMS procedures, in any medium eg paper, electronic, photographic.
  - Record – Any document that states results achieved or provides evidence of activities performed. At an IPT level this may include monitoring results, audit records etc.
- 1.1.3 Many documents will require review and update throughout the lifetime of the project and are likely to move through several reviewed versions during the life of the system eg Register of Environmental Standards. However, records are static and fixed in time. Records are not revised and updated eg waste management licences, monitoring results.

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**2 PROCEDURE OBJECTIVES**

**2.1 Documents**

2.1.1 Documented arrangements are in place to ensure that all documents produced within the project level SMS or EMS (eg Register of Standards, Register of Stakeholders):

- a. Are approved for adequacy prior to issue;
- b. Are reviewed and updated as necessary;
- c. Are identifiable by date, version number and (where applicable) revision status;
- d. Are available in their current version at locations where operations essential to the effective functioning of POSMS and POEMS are performed.

**2.2 Records**

2.2.1 Documented arrangements are in place to ensure:

- a. All records associated with POSMS and POEMS eg monitoring results or licences, are established, maintained and disposed of when required.
- b. To ensure that records are identifiable, legible and traceable and are stored and maintained in such a way that they are readily retrievable and protected against damage, deterioration and loss.
- c. To establish retention times for records.

**3 RESPONSIBILITIES**

**3.1 Accountability**

3.1.1 The IPTL is accountable for the completion of this procedure.

**3.2 Procedure Management**

3.2.1 The IPTLs may delegate the management of this procedure to the Environmental Focal Point.

**3.3 Procedure Completion**

3.3.1 IPTs will be responsible for completing the procedure.

**4 WHEN**

4.1.1 Regarding document control, the applicability of this procedure is ongoing from the production of POSMS and POEMS outputs.

4.1.2 For project records this procedure is applicable throughout the duration of any project and afterwards if a need is identified for project records being retained after the

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project's conclusion.

## 5 REQUIRED INPUTS

- a. Documents – Any information produced as outputs of POEMS and POSMS in any media eg paper, electronic, photographic.
- b. Records – Any document that states results achieved or provides evidence of activities performed (eg monitoring results, audit record etc).
- c. Any existing document or record control arrangements within the IPT.

## 6 REQUIRED OUTPUTS

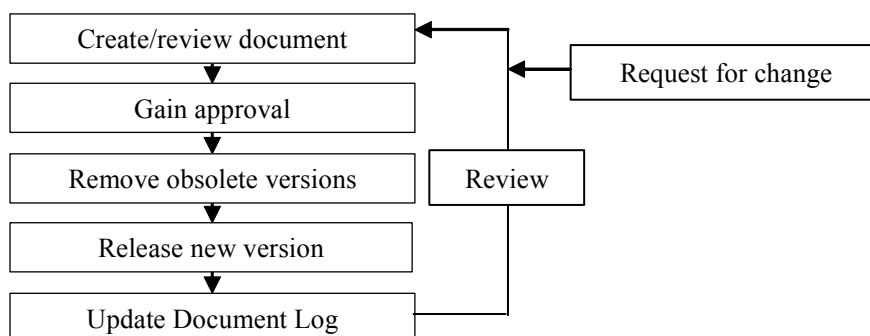
- a. Appropriately controlled documents (**Form SSP03a/F/01 – Document Log**);
- b. Appropriately managed records (**Form SSP03a/F/02 – Record Log**);
- c. **SSP03a/F/03 - Document Change Request Form.**

### OR

Equivalent actions and documentation that ASEG is satisfied achieve the same objectives.

## 7 DESCRIPTION

### Document Control



7.1.1 POSMS and POEMS procedures require that most project level outputs are documented. Many of these documents will need review and revision throughout the lifetime of the project.

7.1.2 The IPT should ensure that all POSMS and POEMS documents are legible, show their title, the date they were created, the version number, the person responsible for their maintenance and revision and the person responsible for their approval.

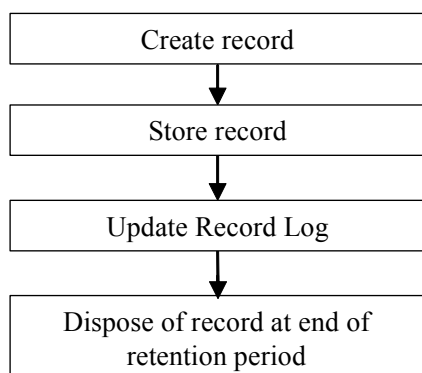
7.1.3 In addition, documents should be logged to ensure that the most up to date versions are

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available and that these are easily located. **Form SSP03a/F/01** – Document Log can be used to record this information.

**Record Control**



7.1.4 The IPT is responsible for ensuring that records required in relation to proving compliance with the POSMS and POEMS requirements are established, maintained and disposed of when no longer required.

7.1.5 Records include the following:

- Reports/studies completed (ie EIA Reports, SCRs etc.);
- Waste Management Licences
- Other supporting records produced in relation to the project POSMS and POEMS.

7.1.6 Records should be legible, identifiable and traceable. This can be accomplished through ensuring that they include a title, the date they were created and the person responsible for their storage and maintenance.

7.1.7 All safety and environmental records, unless otherwise required, should be retained for the lifetime of the project. The IPT should identify where records may be required to be stored for longer or shorter.

7.1.8 A log of all records produced by following the POSMS and POEMS procedures should be created and maintained. This should include information on who is responsible for maintaining/storing the record and the retention time. **Form SSP03a/F/02** – Record Log can be used to record this information.

**Requesting a change to POSMS, POEMS and IPT documents**

7.1.9 It is a central objective of any SMS or EMS for the system to continually improve. IPTs, as users of the POSMS and POEMS, have a responsibility to contribute to their continual improvement through the submission of suggestions and recommendations for change.

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7.1.10 IPTs can request amendments to POSMS and POEMS by submitting a completed **Form SSP03a/F/03** – Document Change Request Form to ASEG for consideration.

7.1.11 This form may also be used within or between IPTs to request changes to IPT level documentation eg Register of Stakeholder Requirements and Information. If such a request is made within an IPT the recipient of the form (usually the Safety and Environmental Focal Point) is responsible for completing the second half of the form. Before deciding whether to make an amendment, the recipient of the form may consult with other parties eg Subject Matter Expert, ASEG, Safety or Environmental Committee. Any consultees involved in the process should be documented on the form.

## 8 RECORDS AND PROJECT DOCUMENTATION

8.1.1 Not applicable.

## 9 RECOMMENDED TOOLS AND FORMS

- a. **SSP03a/F/01** – Document Log
- b. **SSP03a/F/02** – Record Log
- c. **SSP03a/F/03** – Document Change Request Form

## 10 GUIDANCE

### 10.1 General

10.1.1 General advice on document control and record keeping procedures can be found in the ISO 14001, ISO 14004, OHSAS 18001 and various sections of JSP418.

10.1.2 If a project management system (ISO 9000 or otherwise) is already in place for the project which includes document control and/or record keeping, the IPT should follow these requirements or procedures as an alternative to this procedure, so long as ASEG is satisfied they meet the same objectives.

10.1.3 Where there is no formalised project management system or no pre-existing arrangements for record keeping, then the IPT should follow this procedure to establish appropriate record keeping arrangements.

10.1.4 In some cases, records will be produced by equipment or service suppliers or advisors. Where this is the case the records may be maintained by other parties however the IPT should have relevant information to demonstrate conformance with the objectives of this procedure.

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## 10.2 Warnings and Potential Project Risks

10.2.1 Failure in producing and maintaining appropriate documents and records could cause problems for the IPT and other stakeholders in managing safety and environmental issues or proving that safety and environmental issues have been appropriately managed. This could result in financial costs in terms of reproducing documents/studies or even prosecution.

## 10.3 Record Retention

10.3.1 IPTs should be aware that there may be legal or other requirements for records to be retained for specific lengths of time eg for health monitoring, asbestos or commercial records. Advice should be sought from subject matter experts on the specific requirements.

10.3.2 Further guidance is available from the National Archives at [http://www.nationalarchives.gov.uk/documents/sched\\_health\\_safety.pdf](http://www.nationalarchives.gov.uk/documents/sched_health_safety.pdf)

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Form SSP03a/F/01 – Document Log						
Title	Date created	Date of next review	Document owner	Document approver	Security status	Document stored at:

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<b>Form SSP03a/F/02 – Record Log</b>					
<b>Title</b>	<b>Date created</b>	<b>Record owner</b>	<b>Security status</b>	<b>Retention time</b>	<b>Record stored at:</b>

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<b>SSP03a/F/03 – Document Change Request Form</b>	
<b>Title of Document:</b>	
<b>Reference Number:</b>	
<b>Nature of Change Requested:</b>	
<b>Reason(s) for change:</b>	
<b>Contact Details for Person Requesting Change:</b>	
<b>Date of Request:</b>	
<b>Following to be completed by Recipient</b>	
<b>Received by:</b>	
<b>Consultees (where applicable)<sup>1</sup>:</b>	
<b>Outcome of Request (please circle):</b>	Approved:      Approved (with amendments):      Rejected: Date:
<b>Reason for Rejection (if applicable)</b>	
<b>Other notes</b>	
<b>Forwarded for Action:</b>	To: Date:
<b>Change Completed:</b>	Date:

<sup>1</sup> Where the request involves a major change to POSMS or POEMS, ASEG must be consulted.

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