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4. Document and Record Control

ASEMS Document Version:
3.4
Effective From:
Monday, 6 December, 2021 - 01:15
Summary:
This generic procedure offers guidance on document and record control at a project level.

4.1. Overview

4.1.0.1.

The POSMS and the 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.

4.1.0.2.

Within this procedure the following definitions are used:

1. Document – Any information produced as outputs of POSMS and POEMS procedures, in any medium e.g. paper, electronic, photographic;
2. Record – Any document that states results achieved or provides evidence of activities performed. At a Delivery Team level this may include monitoring results, audit records etc.

4.1.0.3.

Many documents should be reviewed and updated throughout the lifetime of the project and are likely to move through several reviewed versions during the life of the system e.g. Register of Environmental Standards. However, records are static and fixed in time. Records are not revised and updated e.g. waste management licences, monitoring results.

4.2. Procedure

4.2.1. Document Control

4.2.1.1.

POSMS and POEMS procedures require that most project level outputs should be documented. Many of these documents should be reviewed and revision throughout the lifetime of the project.

4.2.1.2.

The Delivery Team 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.

4.2.1.3.

In addition, documents should be logged to ensure that the most up to date versions are available and that these are easily located. FormSSP03a/F/01 – Document Log [1] should be used to record this information.

4.2.2. Record Control

Record Control

4.2.2.1.

The Delivery Team should ensure that records required in relation to proving compliance with the POSMS and POEMS requirements are established, maintained and disposed of when no longer required.

4.2.2.2.

Records should include the following:

1. Reports/studies completed (i.e. Environmental Impact Assessment Reports, Safety Case Reports etc.);
2. Waste Management Licences;

3. Other supporting records produced in relation to the project POSMS and POEMS.

4.2.2.3.

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

4.2.2.4.

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

4.2.2.5.

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 [2] should be used to record this information.

4.2.3. Requesting a change to POSMS, POEMS and Delivery Team documents

4.2.3.1.

It is a central objective of any Safety Management System or Environmental Management System for the system to continually improve. Delivery Teams, as users of the POSMS and POEMS, should contribute to their continual improvement through the submission of suggestions and recommendations for change.

4.2.3.2.

Delivery Teams should request amendments to POSMS and POEMS by submitting a completed SSP03a/F/03 – Document Change Request [3]Form to the Safety and Environmental Protection Policy team multiuser account [4], for consideration.

4.2.3.3.

This form should also be used within or between Delivery Teams to request changes to Delivery Team level documentation e.g. Register of Stakeholder Requirements and Information. If such a request is made within a Delivery Team 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 should consult with other parties e.g. Subject Matter Expert, QSEP, Safety or Environmental Committee. Any consultees involved in the process should be documented on the form.

4.3. Responsibilities

4.3.0.1.

The Delivery Team Leader is responsible for ensuring adequate resources are dedicated to the management of safety and environmental protection within their area of responsibility, and for facilitating appropriate arrangements to discharge those responsibilities relating to this procedure in an efficient and effective manner.

4.3.0.2.

Responsibility for ensuring those arrangements are implemented, and achieve outputs which fully satisfy legislative and departmental requirements for safety and environmental protection (including compliance with this procedure), shall be formally delegated in writing to a named, competent individual within the team.

4.3.0.3.

Anyone who uses, refers to or has an informed opinion on the POSMS and POEMS can request a change to POSMS and POEMS documents (Form SSP03a/F/03 [3] can be used for this purpose).

4.4. When

4.4.0.1.

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

4.4.0.2.

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 project's conclusion.

4.4.0.3.

For records required by Safety and Environmental Protection Team e.g. summary audit reports, this procedure is applicable from the first publication of the POSMS and POEMS Manuals until they are.

4.5. Required Inputs

4.5.0.1.

1. Documents – Any information produced as outputs of POEMS and POSMS in any media e.g. paper, electronic, photographic;
2. Records – Any document that states results achieved or provides evidence of activities performed (e.g. monitoring results, audit record etc.);
3. Any existing document or record control arrangements within the Delivery Team;
4. Documents – All POSMS and POEMS manuals, procedures, tools and guidance;
5. Records – All the Safety and Environmental Protection team records relating to POSMS and POEMS e.g. summary audit reports, Safety and Environmental Protection team staff training records;
6. Any requests received by SEP for changes to POSMS or POEMS documents (Form SSP03a/F/03 – Document Change Request Form);

4.6. Required Outputs

4.6.0.1.

1. Appropriately controlled documents (Form SSP03a/F/01 – Document Log [1]);
2. Appropriately managed records (Form SSP03a/F/02 – Record Log [2]);
3. SSP03a/F/03 - Document Change Request [3] Form.

4.7. Further Guidance

4.7.1. General

4.7.1.1.

General advice on competence, awareness and training [5] can be found in [6]ISO 14000 - Environmental management, OHSAS 18001 Occupational Health and Safety, the draft ISO 45001 - Occupational health and safety.

4.7.1.2.

If a project management system (ISO 9000 - Quality Management [5] or otherwise) is already in place for the project which includes document control and/or record keeping, the Delivery Team should follow these requirements or procedures as an alternative to this procedure, so long as the Safety and Environmental Protection team is satisfied they meet the same objectives.

4.7.1.3.

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

4.7.1.4.

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

4.7.2. Warnings and Potential Project Risks

4.7.2.1.

Failure in producing and maintaining appropriate documents and records could cause problems for the Delivery Team 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.

4.7.2.2.

If the POSMS and POEMS documents are not appropriately controlled there is a risk that Delivery Teams could be following out of date procedures. This could result in problems and inconsistencies in managing safety and environmental issues throughout the acquisition community.

4.7.3. Record Retention

4.7.3.1.

Delivery Teams should be aware that there may be legal or other requirements for records to be retained for specific lengths of time e.g. for health monitoring, asbestos or commercial records. Advice should be sought from Subject Matter Experts on the specific requirements.

4.8. Version Control

4.8.1. Version 2.3 to 3.0 uplift

4.8.1.1.

Major uplift from the Acquisition System Guidance (ASG) to online version.

4.8.2. Version 3.0 to 3.1 uplift

4.8.2.1.

Version uplift to address renumbering of GMP from 8 to 4.

4.8.3. Version 3.1 to 3.2 Uplift

4.8.3.1.

Minor text changes to align with ASP taxonomy.

4.8.4. Version 3.2 to 3.3 Uplift

4.8.4.1.

Text change replacing Project Team with Delivery Team.

4.8.5. Version 3.3 to 3.4 Uplift.

4.8.5.1.

Addition of contact details for return of completed Document Change Request form.

Source URL: https://www.asems.mod.uk/guidance/gmp/gmp08

Links
[1] https://www.asems.mod.uk/sites/default/files/documents/SMP/SSP03aF01%20%E2%80%93%20Document%20Log%20V3.0.docx
[2] https://www.asems.mod.uk/sites/default/files/documents/SMP/SSP03aF02%20%E2%80%93%20Record%20Log%20V3.0.docx
[3] https://www.asems.mod.uk/sites/default/files/documents/SMP/SSP03aF03%20%E2%80%93%20Document%20Change%20Request%20Form%20V3.0.docx
[4] mailto:DES EngSfty-QSEP SEP-Policy (MULTIUSER) <DESEngSfty-QSEPSEP-Policy@mod.gov.uk>?subject=ASEMS%20Document%20Change%20Request%20Form
[5] https://www.asems.mod.uk/ExtReferences
[6] http://www.iso.org/iso/iso14000