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 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 – For ASEG this term primarily refers to the POSMS and POEMS Manuals including procedures, tools and guidance;

- Record – This is a document that states results achieved or provides evidence of activities performed. For ASEG this can include copies of summary audit reports, ASEG staff training records, copies of communications relating to POSMS and POEMS.

2 PROCEDURE OBJECTIVES

2.1 Documents

2.1.1 Documented arrangements are in place to ensure that all POSMS and POEMS documents (ie the manuals, procedures, tools and guidance):

    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 accessible by IPTs and interested third parties.

2.2 Records

2.2.1 Documented arrangements are in place to ensure:

    a. All records associated with POSMS and POEMS eg summary audit reports, 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 ASEG is accountable for the completion of this procedure in regards to documents.

3.2 Procedure Management

3.2.1 ASEG will manage the procedure in regards to controlling documents.

3.3 Procedure Completion

3.3.1 ASEG will follow the procedure in regards to controlling documents.

3.3.2 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** can be used for this purpose).

4   **WHEN**

4.1.1   Regarding document control, the applicability of this procedure is ongoing from the first publication of the POSMS and POEMS Manuals until they are withdrawn from use.

4.1.2   For records required by ASEG e.g. summary audit reports, this procedure is applicable from the first publication of the POSMS and POEMS Manuals until they are withdrawn from use, and afterwards if a need is identified for records to be retained.

5   **REQUIRED INPUTS**

   a.   Documents – All POSMS and POEMS manuals, procedures, tools and guidance.

   b.   Records – All ASEG records relating to POSMS and POEMS eg summary audit reports, ASEG staff training records.

   c.   Any requests received by ASEG for changes to POSMS or POEMS documents (**Form SSP03a/F/03** – Document Change Request Form).

   d.   Any existing document or record control arrangements within ASEG.
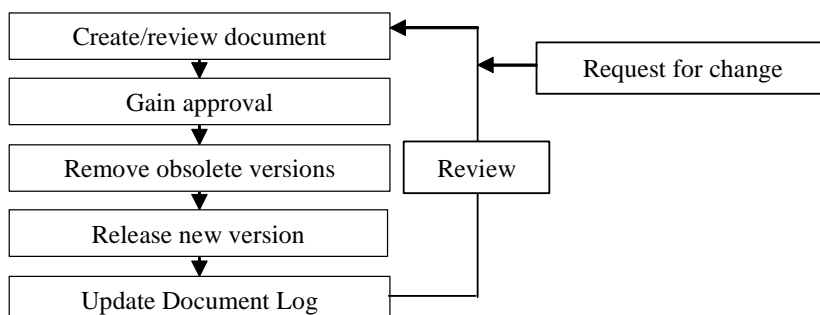
6   **REQUIRED OUTPUTS**

   a.   Appropriately controlled documents (**Form SSP03b/F/01** – Document Log);

   b.   Appropriately managed records (**Form SSP03b/F/02** – Record Log);

   OR

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

7   **DESCRIPTION**

Document Control

7.1.1   The master copies of the POSMS and POEMS documents will be held by ASEG and should be individually identified through the inclusion of: title, date of issue, revision
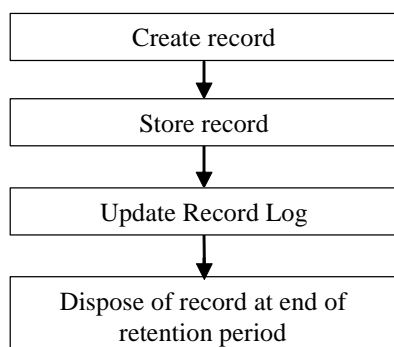
number, name of the issuer and approver. ASEG should ensure that any new versions of documents are approved prior to use.

7.1.2 Controlled copies of the POSMS and POEMS documents should be made available to all IPTs. Uncontrolled copies may be distributed to any interested personnel. All uncontrolled copies should be identified as such.

7.1.3 Requests for amendments to POSMS and POEMS documents may be made by IPT staff by submitting a completed **Form SSP03a/F/01** – Document Change Request Form to ASEG for consideration.

7.1.4 The recipient of the form is responsible for completing the second half of the form. On receipt of the form, ASEG should consider any suggested changes and if appropriate make those changes. ASEG may consult with other parties before deciding whether to make an amendment. If this is the case then the consultee(s) should be documented in the form. Any changes must then be communicated to the acquisition community. Implementation of suggested changes may be saved until a planned update of POSMS or POEMS to avoid frequent re-issues of the manuals. Any changes made to POSMS and POEMS documents should be authorised by ASEG.

7.1.5 Obsolete versions should be destroyed if no longer deemed useful or, if retained, identified as obsolete.

7.1.6 A log of all POSMS and POEMS documents that are the responsibility of ASEG (including the Manuals, procedures, tools and guidance) should be created and maintained. This log should show who is responsible for their maintenance and where the master copies of the documents are located. **Form SSP03b/F/01** – Document Log can be used for this purpose.

7.1.7 Archival documents and data retained for legal and/or knowledge preservation purposes, should also be suitably identified and logged.

Record Control

```
┌─────────────────────────┐
│      Create record      │
└─────────────────────────┘
             │
             ▼
┌─────────────────────────┐
│       Store record      │
└─────────────────────────┘
             │
             ▼
┌─────────────────────────┐
│     Update Record Log   │
└─────────────────────────┘
             │
             ▼
┌─────────────────────────┐
│  Dispose of record at   │
│  end of retention period│
└─────────────────────────┘
```

7.1.8 ASEG is responsible for maintaining records associated with POEMS and POSMS.

7.1.9 These may include the following:

- Summary audit reports;

- Communications received or dispatched;

- ASEG staff training records.

7.1.10 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. They should be stored in such a way that they are readily retrievable and protected against damage, deterioration or loss.

7.1.11 A log of all ASEG's records relating to POSMS and POEMS should be created and maintained. This should include information on who is responsible for maintaining/storing the record and the required retention time. **Form SSP03b/F/02** – Record Log can be used for this purpose.

8   RECORDS AND PROJECT DOCUMENTATION

8.1.1   Not applicable.

9   RECOMMENDED TOOLS AND FORMS

a. **SSP03b/F/01** – Document Log
b. **SSP03b/F/02** – Record Log

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 management system (ISO 9000 or otherwise) is already in place within ASEG which includes document control and/or record keeping, ASEG should follow these requirements or procedures as an alternative to this procedure, so long as it 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 this procedure should be followed to establish appropriate record keeping arrangements.

10.2   Warnings and Potential Risks

10.2.1 If the POSMS and POEMS documents are not appropriately controlled there is a risk

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DOCUMENT IS UNCONTROLLED IN PRINT	DATE:	November 2007

that IPTs could be following out of date procedures. This could result in problems and inconsistencies in managing safety and environmental issues throughout the acquisition community.

Form SSP03b/F/01 – Document Log

Title	Date created	Date of next review	Document owner	Document approver	Security status	Document stored at:

Form SSP03b/F/02 – Record Log					
Title	**Date created**	**Record owner**	**Security status**	**Retention time**	**Record stored at:**