

Part 4-B: Document Control Examples



Document Control Example-1

Background

Hodges Bay District Council (HBDC) SMS is developed and adopted by Council.

Joan Smith, HBDC's Roading Manager is the SMS champion, and in this case also the '**document controller**'.

The SMS 'Safety Management Team', comprises HBDC's Roading Manager, HBDC's network consultant, HBDC's Maintenance contractor, HBDC's Road Safety Co-ordinator, NZ Police OIC STU and Land Transport NZ Engineer.

The SMS 'Safety Management Team', plus the communications manager of Council form the '**review team**', for the SMS. The '**review team**' meet every six months.

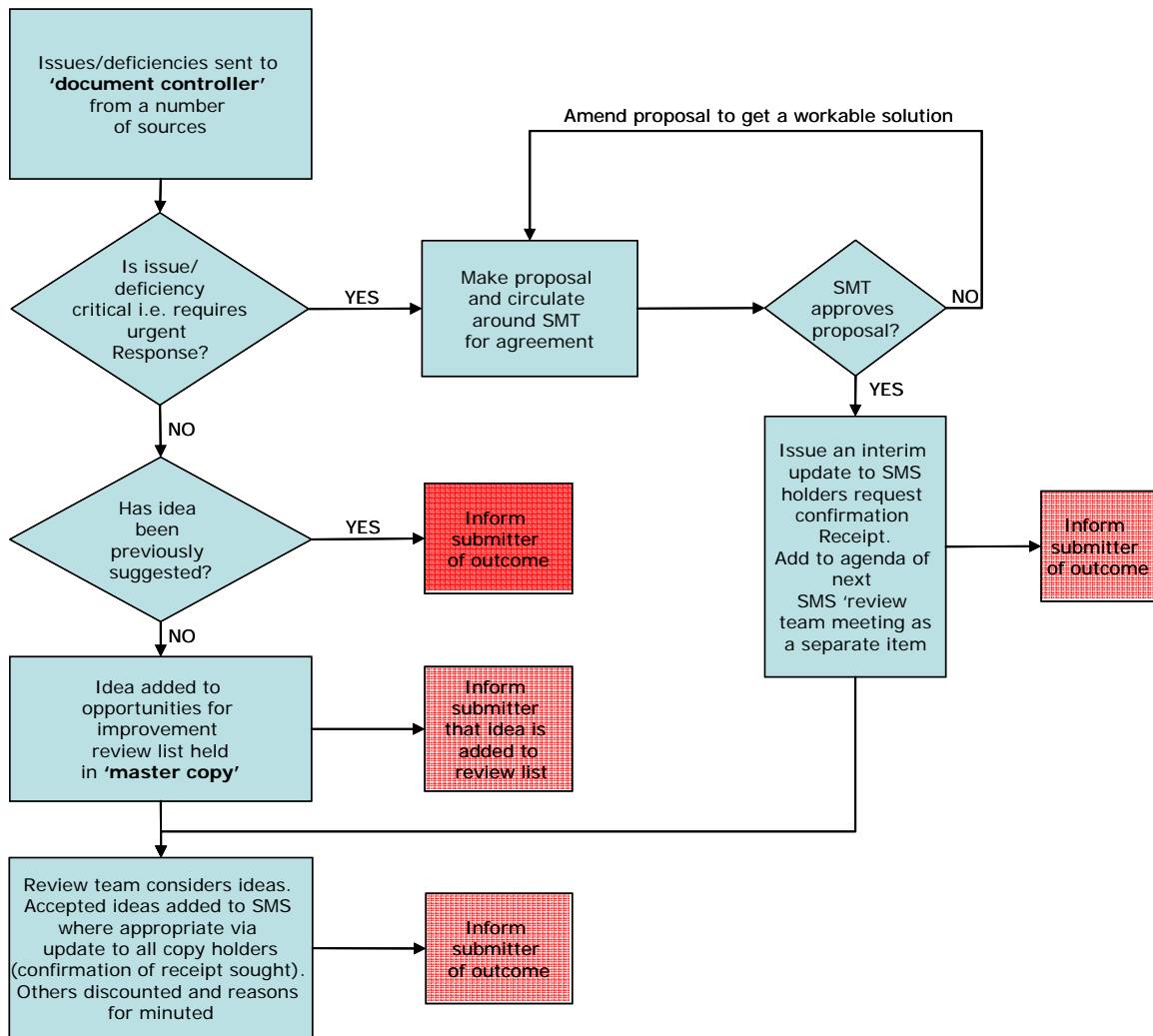
Including the '**master copy**' there are seven hard copies of HBDC's SMS in circulation each with a unique identifier commencing HBDC_01, then HBDC_02, etc. The document controller stores this info on a sheet within the front of the '**master copy**' in the following format:

Official distribution list for Hodges Bay SMS (example)

SMS ID	Held	Holder	Designation
HBDC_01 (<i>master copy</i>)	HBDC - roading dept	Joan Smith	Roading Manager (document controller)
HBDC_02	HBDC-comms section	Mike Jones	Comms Manager
HBDC_03	HBDC-community section	Helen Hughes	Road safety Co-ordinator
HBDC_04	Good Consultants	Harry Stevens	Design Manager
HBDC_05	Fast Contractors	Jill Scott	Construction Manager
HBDC_06	NZ Police - Hodges Bay	Alan Duncan	Senior Sergeant (STU)
HBDC_07	Land Transport NZ-Central	Bill McDonald	Senior Engineer

All parties know that Joan Smith is the document controller and as such all suggestions for improvement or identified gaps in the document are channelled through Joan via the following process that is agreed and documented within the SMS.

Suggestions for improvement to SMS Process



An example of the list of **suggestions for SMS improvement** is:

Item #	Description	Outcome from review meeting
1	No activity sheet for stock crossings.	Develop policy for stock crossings and stock racing.
2	Roles and qualification system needs to be expanded to include more key players.	Expand section to include....
3	Etc	-

An example of the **SMS Opportunity for Improvement list** is as follows:

Item	Description	Action	Due date	Responsibility
1	No activity sheet for stock crossings.	Develop policy for stock crossings and stock driving.	Aug 06	J. Smith
2	Roles and qualification system needs to be expanded to include more key players.	Expand section to include....	Jan 06	M. Jones

Document Control Example-2

Part 12: Changes and Development of the S M S.

OBJECTIVE

To ensure the Safety Management System remains current and appropriate.

12.1 Policy

The City Streets Safety Management System shall be subject to a process of continuous improvement. Any changes or developments shall be undertaken in a manner that both encourages staff participation and is methodical.

12.2 Purpose

An emphasis on making continual improvements to all aspects of the safety system will ensure that it increases in effectiveness and efficiency to the benefit of both the Council and Christchurch City. It is important however that any changes are made in a systematic manner.

12.3 Scope and Responsibilities

This part of the document describes the methods used to make any changes, developments of documents or systems used in the safety system and allied documents. Changes, modifications and development of documents or systems may be initiated by any staff member. The request for change or development shall be made directly to the relevant Team Leader. A copy of form FC/D shall accompany any request. Any change or development shall only be permitted after gaining the approval of the Safety Management System (Internal) Team

12.4 Procedures

Refer flow chart following .

Change and development requests shall be included on the SMS (Internal) Team meeting agenda (Form FQM).

12.5 Identifying Document Changes

An amendment to a document shall be identified by a 'change bar' as illustrated. The original text shall be deleted and replaced by the amended version.

Original

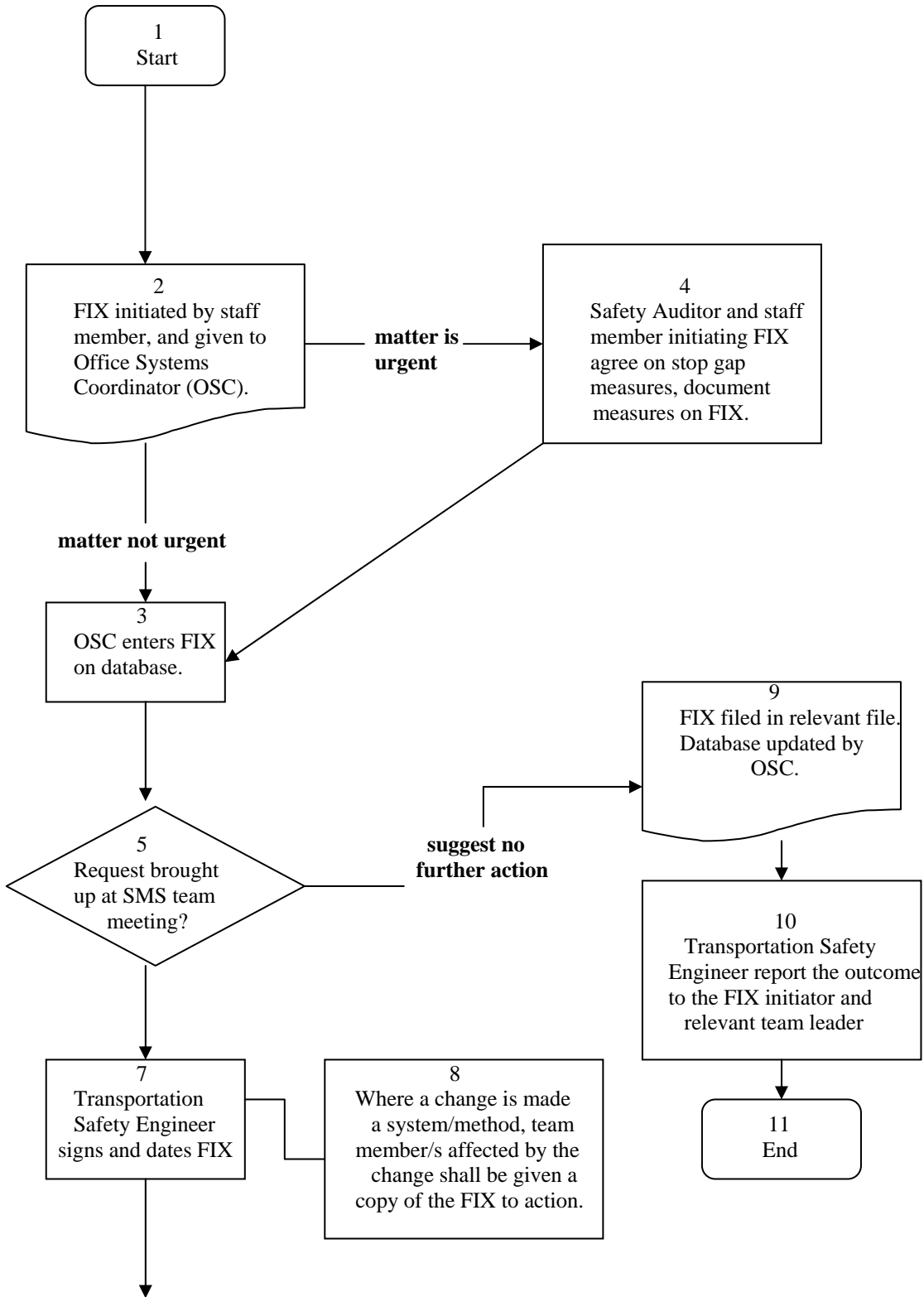
Now is the time for all good men.

Amended Version

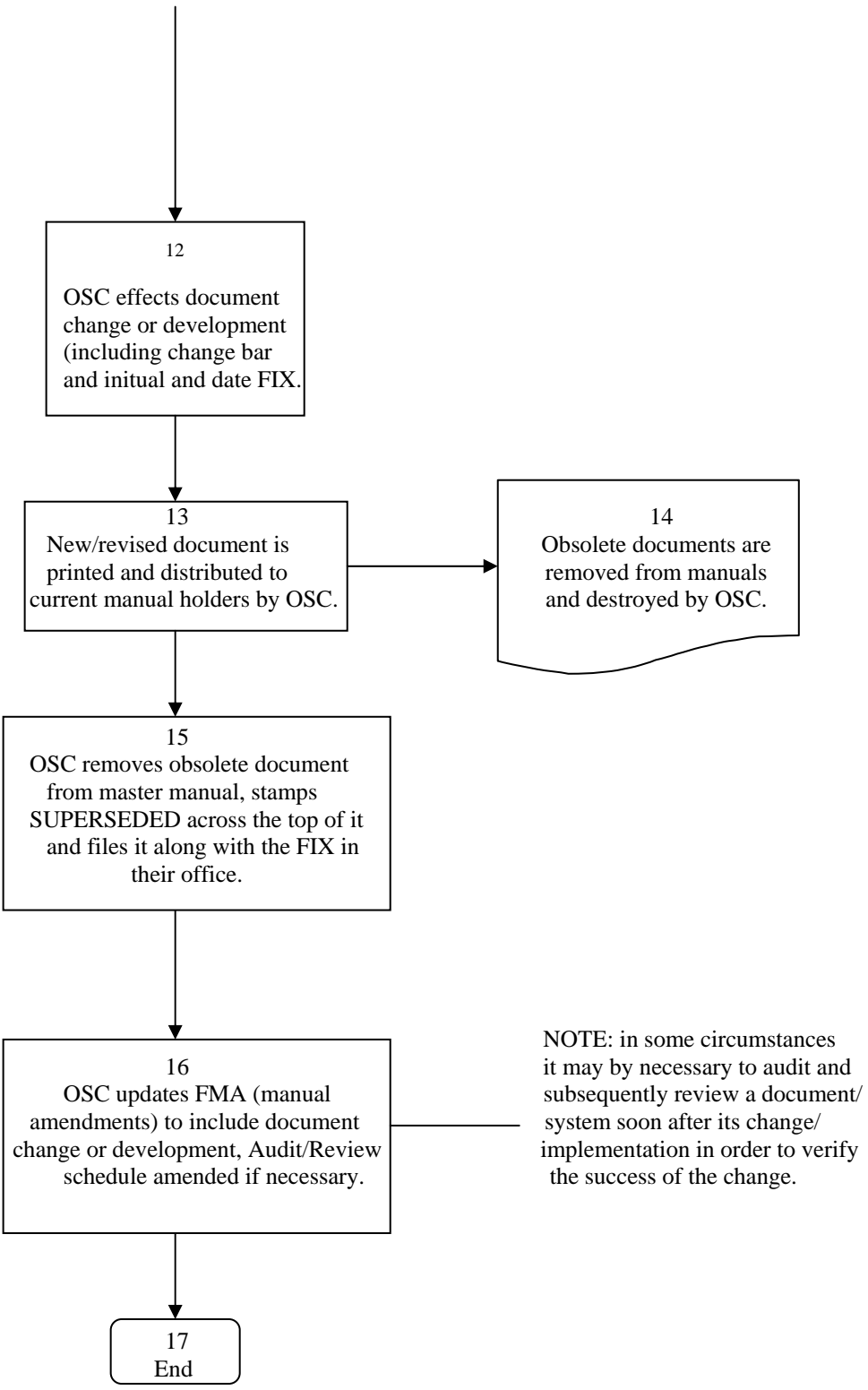
Now is the time for all good persons.

A change bar only indicates the most recent change (ie change bars from Previous amendments shall be deleted when another amendment is made to the same page/document).

Document Control Example-2
 CHANGES AND DEVELOPMENT
 OF DOCUMENT OR SYSTEM



CHANGES AND DEVELOPMENT
OF DOCUMENT OR SYSTEM



FIA
INTERNAL AUDIT
(DOCUMENT/SYSTEM)

Document/System: _____

(Check that document /system to be audited is the most recent)

Date: _____

Head Auditor: _____ Assistant: _____

Findings:

(continue on reverse if required)

Corrective action required

(continue on reverse if required)

Corrective Action

By whom: _____

Date to be completed: _____

Signed Transportation Safety Engineer: _____

Review of Corrective Action *(one month after audit)*

Corrective Action completed *(invalid documents destroyed where appropriate)*

Signed Head Auditor: _____ Date: _____

**FFB
FEEDBACK FORM**

- Ideas
- Customer Feedback
- Change to Safety Management System

- Corrective Action
- Problems
- Change to Team Documents

NO:
Office use only

Date & Time _____	Your Name _____	SMS Lead Document Change Yes/No
_____	_____	Team Document Change Yes/No
Describe the problem/suggestion		Phone No

What action do you think is necessary? (include any action you have already taken)		

SMS (Internal) Team Meeting (Date)	Copy to Team Leaders effected	Feedback to originator			Code
ACTION REQUIRED	By Whom	When	Verified (Initial)	Date Completed	
REVIEW: was the action/change successful?					
All necessary action/documentation completed.					
Transportation Safety Engineer Signature:				Date:	