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| <b>Document Reference:</b>   | <b>KITS/L3/HSQE/060</b>  |                                 |              |                   |
| <b>Document Title:</b>   | <b>Document Control</b>  |                                 |              |                   |
| <b>Purpose:</b>  | To define the process for the management of documentation within the business.   |                                 |              |                   |
| <b>Financial Implications:</b>   | Medium   |                                 |              |                   |
| <b>Synopsis: Summary of Changes:</b>   | <p><b>Issue 2:</b> 29/3/04 Revised</p> <p><b>Issue 3:</b> 15/3/05 Entire Document revised – Rewritten for simplicity and new format and file numbering format. New Work Instruction added for clarity and to support new filing format. Implemented New instruction Management of Controlled Documents</p> <p><b>Issue 4:</b> 7/3/06 Annual Review</p> <p><b>Issue 5:</b> 28/2/07 Review – scope and company name change. Added details of KRI E01 into this procedure and made instruction obsolete.</p> <p><b>Issue 6:</b> 18/04/08 Annual Review, change in HSQE Manager, and “reviewed by” individual, as well as assigning responsibilities to the Projects Quality Manager.</p> <p><b>Issue 7:</b> 26/09/08 Addition of controls over project specific drawings and other controlled documents.</p> <p><b>Issue 8:</b> 15/05/09 Annual review, change of job titles to Managing Director, Operations Director, Health and Safety Manager, Quality and Environment Manager.</p> <p><b>Issue 9:</b> 17/03/10 Reference to KITS/FM/HSQE/154 added</p> <p><b>Issue 10:</b> 19/10/10 Clear reference to briefing changes to NR standards and relevant legislation, and job title change from QE to HSQE Manager.</p> <p><b>Issue 11:</b> 22/08/12 General formatting, amendment to document indexing, project document indexing and local security changes.</p> <p><b>Issue 12:</b> 14/03/16 Minor changes and job title changes.</p> |                                 |              |                   |
|  | <b>Name:</b>   | <b>Title:</b>                   | <b>Date:</b> | <b>Signature:</b> |
| <b>Reviewed By:</b>  |  | Compliance Manager              | 14/03/16     |                   |
| <b>Approved By:</b>  |  | Group Health and Safety Manager | 14/03/16     |                   |
| <b>ELECTRONIC DOCUMENT: FIELD LENGTH WILL BE ADJUSTED. UNCONTROLLED IF PRINTED</b> |  |                                 |              |                   |

## 1.0 Purpose

To define the process for the management of documentation within the business.

## 2.0 Scope

This procedure applies to the control of documentation that forms part of the organisations management system and the process for managing business or project specific outputs from the management system.

## 3.0 Responsibilities

- 3.1 The **Compliance** Manager shall establish and maintain control of all documentation that relates to the requirements of the Management System, to ensure that:

a) Documents are fit for purpose, in a suitable format and carry the necessary details; (Company, Level of document level, document source, identification number, revision number).

**Example: KITS/ L1/COR/001/ Revision Number** (KITS Health and Safety Policy).

### Source Reference

**COR** - Corporate Document  
**COM** - Commercial  
**HR** - Human Resources  
**FIN** - Finance  
**HSQE** - Assurance  
**COMP** - Competence  
**TS** - Technical Services (Estimating, Planning, etc).  
**SUP** - General Administration, Legal, Corporate Office Management.

**L1**- High level document, Policy  
**L2** - High Level Management System Manuals  
**L3** - Procedures  
**FM** - Forms  
**GN** - Guidance Note  
**GRA** - Generic Risk Assessments  
**ITP**- Generic Inspection & Test Plans

### Document Numbering Sequence

**001**- Document Number.  
**01**- Revision Number

**Note:** Documents on the intranet with a CC - Cost Centre reference will not form part of the Company Management System unless referenced within the Project Quality Plan and controlled via the Project.

- b) Prior to issue documents are reviewed for adequacy by persons with suitable experience and knowledge, and any changes made from the previous issue are identified.
- c) A Master Copy is updated, controlled, and maintained with appropriate backup copies.
- d) A file of superseded documents is maintained (if originator) for a minimum of 2 years.
- e) A programme for review of all Management System Documentation is maintained along with a record of review. Additionally a master list is maintained which identifies current revision status accordingly and ensure related records are kept.
- f) Management System Documents are reviewed, approved, and authorised before use.
- g) The intranet system holds the current controlled version all printed copies are uncontrolled.
- e) Any documentation transmitted as controlled documents by the Head Office will be sent with a document transmittal and the issue recorded.
- f) A summary of the system changes is circulated monthly.

### 3.2 Compliance Manager

The Compliance Manager shall establish and maintain control of the Management System Documentation to ensure that:

- a) Management System Documentation is issued and distributed via the company intranet.
- b) Management System Documentation is authorised.
- c) The nature of any changes is identified in the document.
- d) A master control list shall identify the current revision status.
- e) Obsolete documents are replaced by updated copies.
- f) Additional 'uncontrolled copies' are obtained (if required) and are marked accordingly.
- g) An authorised document hard copy is updated, controlled, stored and maintained.
- h) Records relating to Management System Document distribution are kept.
- i) Monitor documents within their control and advise the Compliance Manager, when they are due for review e.g. due to system changes, or if documents are no longer correct.

### 3.3 Project and other Business Managers

Project and other Business Managers shall ensure that staff under their control have:

- a) Access to the Management System ,associated drawings and standards.
- b) Received initial training and Instruction on the Management System at Induction.
- c) Received periodic updates to what's new in the management system.
- d) Receive instruction on Management of Project or Business Specific data

The Project Manager and other Business Managers will also ensure that:

- e) Where necessary Quality Plans are produced for all Projects.
- f) Personal, Business and Commercially sensitive Information is securely filed and access restricted to appropriate persons.
- g) HR, Occupational Health and Pension information is stored and managed in accordance with Data Protection Act 1998 best practice.
- h) File Indexes are collated to document control any project specific documentation created for or by the project; this includes drawings, method statements, project Instructions, design drawings, Project Risk Logs and customer correspondence which requires tracking. Each document will be issued with a unique number based on *KITS/Project Number /Type of document /Unique Number/ Revision Number*.
- i) Ensure that documents created specifically for a projects are not included on the Company Management System unless approved by the Compliance Manager
- j) Implement systems to check to ensure the Control of externally generated documentation upon receipt and then review documents as required ensuring they remain up to date.

### 4.0 System Management and Monitoring

Updated System Documentation will be posted on the intranet, with summary details circulated via email to key personnel which will include information on which documents have been updated or added.

Note: Project Managers and all staff shall be responsible for ensuring:

- a) That they monitor their emails for updates, printed copies are deemed as an obsolete copy, removed and destroyed or if kept for any reason it is identifiable as 'obsolete'.
- b) That where possible copies are not printed but viewed on line, printed copies are un-controlled.

**Note:** All modifications required to Management System documents shall wherever practicable be made by the document originator being the Compliance Manager.

Document Transmittals (DTs) are to be utilised for the issue and the tracking of receipt of documents. DT Registers are to issue unique numbers for all controlled issue documents.

## **5.0 Quality System Manual Content**

- 5.1 The Quality System Manual shall be used as a basis for auditing; therefore it is important that the content enables the reader to obtain all the necessary generic operating procedures. It is not necessary to include procedures, but the manual shall contain reference to them. Individual work instructions are not to be included within the manual but the source for such instructions shall be identifiable.
- 5.2 The manual shall contain details of the department posts and responsibilities. The relationship of the department within the overall structure of the organisation shall also be defined in the Health & Safety, Environmental and Quality Plan documentation.
- 5.3 Details that may be of a transient nature - e.g. schedules, employee numbers, shall not be included so that the need for frequent updates and amendments is avoided.

## **6.0 Cross References**

Where appropriate, cross-references may be made to technical instructions, applicable forms or client standards.

Direct quotes from these or other manuals shall be avoided so that multi-amendments are unnecessary in the event that the quoted manual is changed.

## **7.0 Local Instructions**

It is the responsibility of each Manager of the organisation, to ensure that the content of Local Instructions in use by groups under their control is reviewed, and that any amendments necessary to Management System Documentation resulting from the review are incorporated by the raising of a Corrective or Improvement Action Request.

## **8.0 Related Standards & Technical Documents**

All Engineering handbooks or standards relating to technical and safety information shall be maintained and review coordinated by the organisation document control personnel.

Relevant related standards, technical documents and legislation, this includes Network Rail Company Standards and Group Standards, LUL Standards, HEA Documentation, and HA Drawings etc, shall be reviewed by the relevant Manager, the review and any actions will be captured on the form Validation Change Form.

Relevant changes to standards or legislation that effect current works shall be briefed to the relevant parties, including Directors, Project Managers, Sub Contractors, administration staff and field staff.

The registered holder of these publications shall ensure updates are inserted in the correct location then remove and destroy superseded information.

All controlled drawings and schedules shall be maintained and coordinated by document control personnel for each Project. The Project document controllers shall ensure new and revised documents are promptly issued to the project team, and must ensure all superseded versions of technical drawings and other such documents are removed from site.

## **9.0 Change Control**

- 9.1 Changed Management System Documentation that is reissued shall have its issue status altered appropriately.
- 9.2 Changes to the Management System Documentation shall require the re-issue of the complete document.

## **10.0 General**

This procedure has been developed to record the status of documents within the organisation and is monitored on a regular basis. Any changes to this procedure may only be made on authority of the Managing Director or delegate.

## **11.0 Related Documents**

KITS/L2/HSQE/003 Quality System Manual.  
KITS/FM/HSQE/153 Document Change Form  
KITS/FM/HSQE/154 Validation Change Form  
Master Document Control Register  
KITS/L3/HSQE/060 Safety and Toolbox Briefings Procedure  
KITS/L3/HSQE/064 Record Management Procedure