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)

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

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:

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

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

<table>
<thead>
<tr>
<th>Item</th>
<th>Description</th>
<th>Action</th>
<th>Due date</th>
<th>Responsibility</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>No activity sheet for stock crossings.</td>
<td>Develop policy for stock crossings and stock droving.</td>
<td>Aug 06</td>
<td>J. Smith</td>
</tr>
<tr>
<td>2</td>
<td>Roles and qualification system needs to be expanded to include more key players.</td>
<td>Expand section to include....</td>
<td>Jan 06</td>
<td>M. Jones</td>
</tr>
</tbody>
</table>
Part 12: Changes and Development of the SMS

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).
1. Start

2. FIX initiated by staff member, and given to Office Systems Coordinator (OSC).

3. OSC enters FIX on database.

4. Safety Auditor and staff member initiating FIX agree on stop gap measures, document measures on FIX.

5. Request brought up at SMS team meeting?

6. Transportation Safety Engineer signs and dates FIX

7. Where a change is made to a system/method, team member/s affected by the change shall be given a copy of the FIX to action.

8. FIX filed in relevant file, database updated by OSC.

9. Transportation Safety Engineer report the outcome to the FIX initiator and relevant team leader

10. End
12
OSC effects document change or development (including change bar and initial and date FIX).

13
New/revised document is printed and distributed to current manual holders by OSC.

14
Obsolete documents are removed from manuals and destroyed by OSC.

15
OSC removes obsolete document from master manual, stamps SUPERSEDED across the top of it and files it along with the FIX in their office.

16
OSC updates FMA (manual amendments) to include document change or development, Audit/Review schedule amended if necessary.

NOTE: in some circumstances it may by necessary to audit and subsequently review a document/system soon after its change/implementation in order to verify the success of the change.

17
End
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
- Corrective Action
- Customer Feedback
- Problems
- Change to Safety Management System
- Change to Team Documents

<table>
<thead>
<tr>
<th>Date &amp; Time</th>
<th>Your Name</th>
<th>SMS Lead Document Change</th>
<th>Yes/No</th>
<th>Team Document Change</th>
<th>Yes/No</th>
<th>Phone No</th>
</tr>
</thead>
</table>

Describe the problem/suggestion

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

<table>
<thead>
<tr>
<th>SMS (Internal) Team Meeting (Date)</th>
<th>Copy to Team Leaders effected</th>
<th>Feedback to originator</th>
<th>Code</th>
</tr>
</thead>
<tbody>
<tr>
<td>ACTION REQUIRED</td>
<td>By Whom</td>
<td>When</td>
<td>Verified (Initial)</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
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</tr>
</tbody>
</table>

REVIEW: was the action/change successful?

All necessary action/documentation completed.

Transportation Safety Engineer Signature: Date: