

Control of Documents & Equipment – Quality Principles

Documents need a revision, date and a unique identifier. Monitoring and measuring equipment needs to be calibrated.

Document Control

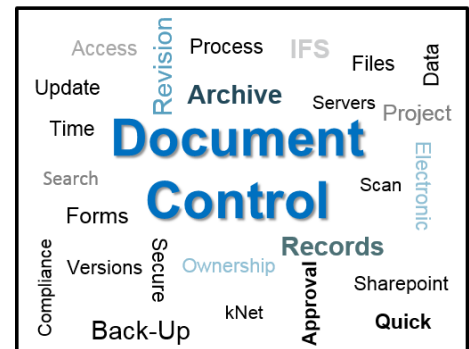
What are the main issues?

During 2017, over 40% of Quality audit findings raised had a root cause of record or document control. The main cause of these findings were:

1. Storing documents locally (in email or on local drive)
2. Project documentation not being maintained and updated
3. No / Inadequate document version control

What is the risk?

- Risk of data being lost as it isn't backed up and only available to that one individual.
- Failure to capture key information and changes.
- Failure to comply with the latest regulatory requirements or improvements.
- Risk of personal data being lost if not securely stored



Solution:

- Documents and Records should be maintained on a shared server (e.g. Network Drive, IFS, Sharepoint, Projectwise and Client systems) or a Project email inbox (NOT personal email).
- Schedule a periodic reviews of key documentation.
- Keep up-to-date with IMS document releases via Yammer and the Document Releases Register emailed out monthly.
- All new IMS documentation MUST go through the SHEQ Team for approval prior to use.
- Records must be signed off by a suitable competent person.
- Authors must not approve their own work (see 'SYTT01-01 Independent' for further information).

Note: If you have any suggested amendments to forms / processes please inform the [SHEQ Team](#).

Calibration

Calibrating and controlling equipment should utilised to:

- Ensure accuracy and safety
- Optimise performance
- Meet regulatory requirements
- Minimise the likelihood of re-work

Any equipment that monitors or measures will require calibration (E.g. Cat and Genny, Setting Out Equipment, Laser Levels, Flow Meters etc.)



Please note that this does not cover any H&S equipment such as PUWER or Lifting Equipment. For further information regarding H&S requirements see HSPR15 PUWER or contact a member of the Safety Team.

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- Equipment identified as required for calibration should be recorded in the CDFR41-01 Equipment Register.
- Nominate a Competent Person to be responsible for the overall control of all measuring and monitoring equipment and document this in the Construction Phase Plan.
- Before using any equipment that requires calibration, ensure that the equipment has:
 - A calibration certificate provided by an accredited UKAS provider (displaying the UKAS logo)
 - A calibration sticker attached to it with the test date / due date

Note: If the calibration sticker is missing or expired, do not use the equipment and inform your supervisor

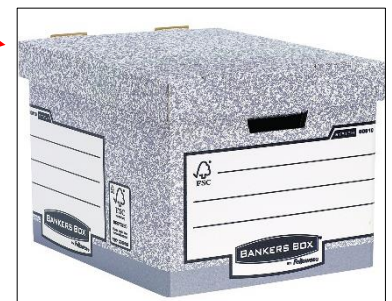


- Maintain the Equipment Register and periodically check for any equipment that will require recalibration.
- Any equipment that requires calibration shall be taken out of use and quarantined. Arrange with the accredited UKAS provider to conduct the relevant calibration checks on the equipment.
- Upon return of the equipment, ensure that a calibration certificate is provided with a new calibration sticker added to the item.

Archiving

How to archive:

- Rationalise files in a master set
- If possible scan and archive electronically
- If this is not possible, put the files into banker boxes (ensure all files in a box have the same destruction date).
- Label with FSR01-01 Archive Labels
- Call the Office Services Manager at Salford (Erika Ince) and arrange a box pick-up.



Boxes going direct to archive:

Inform the Office Services Manager of the following information:

- Project name and number
- Number of boxes
- Owner
- Contents (unless confidential)
- Disposal date (month and year)
- If the files are to be deep archived (indicated by a D on the box).

Note: any files that are deep archived can take up to 48 hours to retrieve whilst standard archives take 24.

Office Services Manager shall note information on the FSR01-02 Archive Register and arrange the pick-up. Upon pick-up ensure you receive a barcode / unique identifying number and inform the Office Services Manager of this information.

Questions

Q1: Can you think of any potential risks to properly maintaining records or documents on your project?

Q2: What were the 3 main risks identified in 2017 that led to poor document / record control?

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REGISTER OF ATTENDEES

Delivered By: (name / job title)	
Project No.:	
Project Name:	

Name (print)	Sign	Date