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**Control of Documents & Records Procedure**

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| **Revision 0** |

**Manual Control & Revision History**

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|  |  |
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| Designation | HSE Trainer | TQTI Manager |

**Revision History**

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## 

## **1. Purpose**

This procedure defines the control of documents and records for the effective operation of Health, Safety and Environmental (HSE) Management System of SOMS.

## **2. Scope**

This Procedure is applicable to all the documents and records of SOMS under the scope of HSE Management Systems.

## **3. References**

* ISO 9001: 2015 – 7.5 Control of Documents
* ISO 9001:2015 – 7.5.2 creating and updating
* ISO 9001:2015 – 7.5.3 control of documented information
* Doc No. TQTI-HSE-PR-01: HSE Management System of TQTI.

## **4. Abbreviations:**

HSE : Health, Safety and Environment

HSE MS : HSE Management System

## **5. Terms and Definitions:**

All terms used within this HSE Procedure has the same definition stated in ISO 9001:2015, ISO 45001:2018

**Document:** Information and its supporting medium. E.g.: Manual, Procedure, Standard, License, drawing, Report, etc. The medium can be paper, magnetic, electronic or optical computer disc, photograph or master sample, or a combination thereof.

**Record:** document stating results achieved or providing evidence of activities performed. Generally, records need not be under revision control

## **6. Responsibilities**

## 6.1 HSE Trainer or On-Behalf:

The HSE Focal Point is responsible for the implementation and monitoring of this procedure. The department shall liaise with Him regarding all HSE documentation requirements for their respective functional areas.

## 6.2 TQTI Manager

It is the responsibility of Manager to ensure that the requirements of this procedure are adhered to in all departments of TQTI.

## 6.3 Employees

Employees are responsible for:

* Complying with requirements of this procedure and all applicable Omani regulation.
* Completing required training and complying with the requirements set forth in this procedure and any additional site-specific standards, regulations, or work methods.

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## **7. PROCEDURE**

## 7.1 Control of Documents

TQTI structures the HSE documentation in four levels as follows:

* Policies, Procedures,
* Plans, Registers
* Forms, Checklists, Registers, Records, etc.
* Work Instructions, Guidelines, SOPs

A brief overview of the purpose of each type of document is given below:

Table-01:

|  |  |  |
| --- | --- | --- |
| **Document Type** | **Abbreviation** | **Description** |
| Manual | MN | defines the System and policies which includes the documents needed by the organization to ensure the effective planning operation and control of its processes |
| Procedures | PR | Specified way to carry out a process |
| Checklist | CL | A checklist is a Document used to check some defined condition |
| Format | FO | A document used to control the format of data to collect in a repeatable manner |
| Plan | PL | A document used to define timescales, interdependencies or any aspects of approved plan of work |

Every document indicates the revision status. Initial issue of a document is marked as Rev. 00. HSE Focal Point maintains a register of internal documents in a document called Master List of Documents. This is a live document which includes document number, revision status and approval authorities. The master list of documents is updated and corresponding document status is addressed in master copy of the document.

## 7.2. Controlled and Uncontrolled Copies

The HSE Focal Point maintains the master copy of internal documents.

Current version soft copies of the HSE management system documents are made available to the persons indicated in **the TQTI System accepted by TQTI** at head office. All authorized persons as per distribution list in the institute have **read only** *access to the folder HSE Documents*. ***Only HSE Focal Point can edit / update or make changes*.** HSE Focal Point controls the access. Except templates and formats all other documents are in pdf. The formats stand as read only’.

HSE Focal Point maintains a document distribution records indicating the copy number.

Uncontrolled copies are those copies whose revision status cannot be controlled. Upon request, document copies are issued to the Customers and interested parties for information and reference purpose only after the approval of HSE Focal Point. The change control procedure is not applicable for those copies.

## 7.3 Amendment / Revision of Document

Employee to forward the request to HSE Focal Point. Any employee of TQTI can propose for addition of new documents or deletion/ revision of the existing documents.

An employee with HSE Department reviews the document change request with his comments. HSE Focal Point along with document originator, approval authority and other affected party study the request for revision.

HSE Focal Point will ensure that all various aspects and cross functional requirements due to the change if any are considered and taken care of before any revision is made. All amendments/revision are approved and authorized by the same authority that had approved and authorized the original document. Every amendment in document is treated as revisions and is identified by incrementing the revision status by one digit.

HSE Focal Point to do:

Uploads the revised one in the document control folder

Withdrawing the earlier version

Issues approved revisions to all hard copy holders of the document as per Distribution List.

Obsolete document is withdrawn from all concerned locations while issuing the revised version.

Recipients of the controlled document ensure that only the current issues/revisions are maintained for use.

## **8. External Origin Documents**

TQTI ensures that relevant documents of external origin are identified, and their distribution controlled. Document focal point is responsible for the identification and procurement of the latest revision of the documents.

External origin documents requiring periodic renewal shall be processed by corresponding process owner.

## 

## **9. Control of Obsolete Documents**

Outdated /obsolete documents are promptly removed from all locations of use and returned to the respective issuing authority/ suitably disposed.

The master copy of the obsolete document may be maintained by HSE Focal Point clearly identified as “Obsolete” for any future reference. Any obsolete documents retained for legal requirement or for knowledge preservation, is suitably identified and kept separately.

## **10. Control of Records**

Manual, Standards, Procedures, Plans & Work Instructions will clearly identify the various records to be maintained for each activity. Records shall be filed in a logical and orderly manner.

The concerned departmental head will ensure that the records are easily retrievable for reference, protected against misuse, damage or deterioration. The HSE Focal Point shall ensure that appropriate environmental conditions are maintained for the preservation of records.

Electronic copies of some of the records are maintained in the relevant departments and are assessable to relevant employees only. It is the responsibility of the relevant employee to maintain the said records, which must be filed in such a way so as to prevent loss or damage and facilitate easy retrieval.

These are password protected or read only documents. Backup copies of the same are maintained in the concerned departments which generate them.

Any changes in the formats are controlled as per the procedure of control of documents.

All HSE records unless specified in relevant procedures, shall be kept for a minimum period of 3 years.

Where the contractual or customer expressed retention, periods exceed those on the list of HSE records, due note should be made on the files to prevent early disposal.

Soft copy of records as may be required to be retained are to be suitably marked to identify their contents and the dates, the information relates to, and shall be stored in a controlled access area.

Hard copy records exceeded their retention period is to be disposed-off by shredding or tearing after seeking approval from CEO. Due consideration is always be given to the company and customer confidentiality. Records in the soft copy are also suitably deleted from all the sources

## **11.Attachments:**

* TQTI-HSE-FO-30 Document Change Request
* TQTI-HSE-RG-04 Document Register