

[Organization logo]

[Organization name]

**Commented [45A1]:** All fields in this document marked by square brackets [ ] must be filled in.

## PROCEDURE FOR DOCUMENT AND RECORD CONTROL

Code:	
Version:	0.1
Created by:	
Approved by:	
Date of version:	
Signature:	

**Commented [45A2]:** If you already implemented ISO 9001 or ISO 14001, you do not need to duplicate this procedure for ISO 45001 - it is enough to add the marked sections to your existing QMS procedure - please see the comments below.

**Commented [45A3]:** To handle documents in an ISO-compliant Document Management System, use Conformio:  
<http://advisera.com/conformio>

**Commented [45A4]:** If you want to find out more about document and record control according to ISO 45001, see:

New approach to ISO 45001 documentation  
<https://advisera.com/45001academy/blog/2018/03/13/new-approach-to-iso-45001-documentation/>

**Commented [45A5]:** Adapt to the existing practice in organization.

### Distribution list

Copy No.	Distributed to	Date	Signature	Returned	
				Date	Signature

**Commented [45A6]:** This is only necessary if document is in paper form; otherwise, this table should be deleted.

## Change history

Date	Version	Created by	Description of change
	0.1	45001Academy	Basic document outline

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## 1. Purpose, scope and users

The purpose of this procedure is to ensure control over the creation, approval, distribution, usage, and updates of documents and records (also called: documented information) used in the OH&SMS (*Occupational Health & Safety Management System*).

This procedure is applied to all documents and records related to the OH&SMS, regardless of whether the documents and records were created inside [organization name] or whether they are of external origin. This procedure encompasses all documents and records, stored in any possible form – paper, audio, video, etc.

This procedure doesn't apply to documents and records regarding [describe the parts of organization that this procedure doesn't apply to].

Users of this document are all employees of [organization name] inside the scope of the OH&SMS.

## 2. Reference documents

- ISO 45001:2018, clause 7.5
- OH&S Manual
- Scope of the OH&S Management System
- [other documents and regulations specifying document control]

## 3. Control of documents

Internal documents are all documents created inside the organization, e.g., policies, working

### 3.1. Creation and identification of documents

All documents are identified by name, code, date of version, version number, and copy number.

Identification of documents is performed as follows:

- [redacted]
- [redacted]

All documents within the scope of the OH&SMS are formatted as defined in this document.

### 3.2. Document approval

All documents, regardless of whether they are new documents or new versions of existing

**Commented [45A7]:** If you already have ISO 9001 or ISO 14001, just insert this part into existing procedure for document control.

**Commented [45A8]:** If you already have ISO 9001 or ISO 14001, just insert this part into existing procedure for document control.

**Commented [45A9]:** E.g., Finance, accounting, general and legal affairs.

**Commented [45A10]:** If you already have ISO 9001 or ISO 14001, just insert this part into existing procedure for document control.

**Commented [45A11]:** If you already have ISO 9001 or ISO 14001, just insert this part into existing procedure for document control.

**Commented [45A12]:** If you already have ISO 9001 or ISO 14001, just insert this part into existing procedure for document control.

**Commented [45A13]:** If you have a separate document with this purpose, delete this part and insert the name of the document.

**Commented [45A14]:** For example:

Procedures are coded with four alphanumerical characters: PR.XX

**Commented [45A15]:** For example:

Records are coded with five alphanumerical characters: PR.XX.Y

**Commented [45A16]:** ISO 45001 requires your organization to define the formatting of the documents within OH&SMS scope.

**Commented [45A17]:** In case there are several document levels, for example:

[redacted]

**Commented [45A18]:** Alternatively, if using electronic documents, you can define that the document is approved by email, or by changing its status in the document management system.

### 3.3. Publishing, distributing and accessing documents

After approving a draft or a new version of a document, [job title] keeps the original version and [job title] publishes the document on the intranet, in the folder [folder name] with reading rights only.

The OH&S Policy is the only document that must be available to the public. The rest of the documents can be published on external portals only with written approval of [job title], and they are marked as "restricted" and [job title] publishes the address of the document only at the moment of issuance.

**Commented [45A19]:** If using electronic documents you can write something like this: "[job title] must publish the documents after the approval on the intranet, in the folder [folder name] with reading rights only. When a new document or new document version is published, [job title] must inform all employees listed as users of the document by e-mail."

### 3.4. Withdrawal of outdated documents

The new version of a document is immediately distributed to the place of use upon creation and [job title] publishes the document on the intranet, in the folder [folder name] with reading rights only. [job title] publishes the address of the document only at the moment of issuance, if it is intended to be archived as a reference.

**Commented [45A20]:** If using electronic documents, write something like this "If there is an older version of the document, [job title] must delete it from the valid documents folder and move it to [folder name]."

[Job title] decides whether the outdated document should be archived or destroyed and the method of destroying the document.

**Commented [45A21]:** Delete if you use electronic documents.

### 3.5. Document updates and changes

The person listed as document owner has the responsibility for updating and changing the document. Updates and changes are performed in the valid documents folder on the intranet.

**Commented [45A22]:** ISO 45001 defines requirements for control of changes in OH&SMS documents and ensuring that current versions of the documents are available on place of use.

All changes to the document must be made using "Track Changes," making visible only the revisions to the original version and must be clearly identified in the "Change History" table. The Track Change option is available in the Track Change section of the document. The Track Change option is not used.

Each document should preferably have a "Change History" table used to record every change made to the document.

### 3.6. Documents of external origin

Each external document that is necessary for the planning and operation of the OH&SMS must be recorded in the List of External Documents by [job title].

The person who creates, updates and controls external documents must also record the document in the List of External Documents. The person who creates, updates and controls external documents must also record a document to [job title], who must also record it in the List of External Documents.

### 3.7. Records control

### 3.7.1. Record managing and labeling

Each internal document in the OH&SMS must define how records resulting from the use of such a

document should be managed, i.e. it must specify the following: 1) how records are to be stored; 2) how records are to be accessed; 3) how records are to be destroyed; 4) how records are to be archived; and 5) how records are to be labeled.

Reports and analysis that are conducted periodically can be in free form, but they must include the following information: 1) report contents; 2) report title; and 3) signature of the person who conducted the report.

Records that arise from legal or regulatory requirements or from IT systems are accepted in defined form and they are not subjected to marking described in this procedure.

When records are to be used, the person responsible for maintaining the record-keeping methods of internal files, and records classification rules, changes, and destruction of such records.

### 3.7.2. Record availability and retrieval

Employees of the organization may access stored records only after obtaining permission from the person responsible for the records-keeping methods.

The availability of records should be such that permission for access must be obtained from a different person. This must be stated in the concerned internal document in the chapter describing records control.

Access and retrieval rights for records are determined by the owner of individual records. [Job title] is responsible for destroying all records for which the retention time has expired.

If the records are stored on computer they must be backed up at least [frequency] [frequency] [frequency].

### 3.7.3. List of types of records

No.	Type	Name of record	Form version	Note
1.				
2.				
3.				
4.				
5.				
6.				
7.				
8.				
9.				
10.				
11.				
12.				

### 3.7.4. Record archiving and destroying

**Commented [45A23]:** If you already have ISO 9001 or ISO 14001, just insert this part into existing procedure for document control.

**Commented [45A24]:** More details should be provided if records are stored on various media.

**Commented [45A25]:** E.g., once a day.

**Commented [45A26]:** If organization uses electronic databases, then this table is not needed, and data listed here can be stored in database.

**Commented [45A28]:** This table can be used as a separate document; in that case insert the name of table in section 4 of this document.

**Commented [45A27]:** Write in here the current version of form used to create the record.

[organization name]

Records with support retention times are destroyed in a way that prevents their further use and the loss of destruction is entered into the Log of Documents for Destruction/Control System.

#### 4. Managing records kept on the basis of this document

Record name	Code	Storage			Responsibility
		Retention time	Location	Protection	
List of Internal Documents	PR.00.1	Older versions are archived for 3 years.	[office of [job title]]	Records are stored in file cabinet [describe name/location].	[job title]
List of External Documents	PR.00.2	Older versions are archived for 3 years.	[office of [job title]]	Records are stored in file cabinet [describe name/location].	[job title]
Registry of Records for Detention/Central Archive	PR.00.3	Older versions are archived for 3 years.	[office of [job title]]	Records are stored in file cabinet [describe name/location].	[job title]

**Commented [45A30]:** Adapt the information in this column to the normal practice in your company.

**Commented [45A29]:** Adapt the information in this column to the normal practice in your company.

**Commented [45A31]:** If the record is in electronic form, write the name of the folder on [job title]'s computer.

**Commented [45A32]:** If the record is in electronic form, write the name of the folder on [job title]'s computer.

**Commented [45A33]:** If the record is in electronic form, write the name of the folder on [job title]'s computer.

Only [job title] can grant other employees access to the records.

#### 5. Appendices

- Appendix 1 – List of Internal Documents
- Appendix 2 – List of External Documents
- Appendix 3 – Registry of Records for Detention/Central Archive