

## Document Control and Record Management

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### Purpose

The purpose of the OHSW&IM Document Control and Record Management Procedure is to outline the process for document and record management control at UniSA in accordance with OHSW legislative requirements and the requirements of the University OHSW&IM Management System. This procedure describes the methodology for ensuring that documents used in the OHSW&IM System and in a workplace are reviewed, updated (where necessary), approved and placed on the OHSW website in accordance with prescribed document control procedures.

### Definitions

Records – “recorded information, in any form, including data in computer systems, created or received and maintained by an organisation or person in the transaction of business or the conduct of affairs and kept as evidence of such activity.” (AS 4390.1 [Australian Standard – Records Management](#)).

OHSW&IM Documents – are policies, procedures, guidelines, forms that define and record the OHSW&IM system and minutes of meetings where OHSW&IM is discussed.

OHSW&IM Records – can include such things as; audit reports, workplace inspections, risk assessments, training needs analysis and plans, the OHS working group meeting agendas and minutes, emergency evacuation reports, health monitoring reports and testing, maintenance inspections and testing records, licensing and certification.

Retention Period – the period for which a record must be kept before it may be destroyed.

A controlled document or record – any document for which distribution and status are required to be kept current by the issuer to ensure that authorised holders or users have the most up to date version available.

Document control – the process established to define controls needed for the management of OHSW&IM documentation.

## **Roles and Responsibilities**

### **The Manager OHSW Services is responsible for:**

- the process of developing, reviewing, the approval process and currency of OHSW&IM documentation maintained on the OHSW website
- the custodianship of University [OHSW&IM System](#) documentation.

### **Line Managers are responsible for:**

- appointing a person within the workplace to ensure all OHSW & IM records are maintained in line with this procedure
- ensuring OHSW&IM System documentation kept at the local level (School/Unit/Research Institutes) is maintained in accordance with this procedure.

### **OHSW Services is responsible for:**

- ensuring effective systems are provided to assist the process of maintaining records.

### **Staff are responsible for:**

- ensuring that the records that are created are managed so that they properly and adequately record evidence of the business activities of the work functions for which they are responsible
- complying with this policy and related advice in creating, using and keeping records of university activities.

## **Procedure for Document Control**

### **1. Electronic Format**

All documentation that is used or introduced onto the OHSW&IM web site forms part of the UniSA OHSW&IM system. This documentation is to be maintained in electronic format and only current versions of documentation that form part of the OHSW&IM system are to appear on the UniSA OHSW&IM website.

### **2. Document Review**

A review schedule of existing OHSW&IM system documentation shall be maintained to ensure continuous improvement and a copy of the schedule is to be placed onto the OHSW&IM website.

Proposed changes to OHSW&IM documentation is to be communicated to stakeholders for consideration and comment.

Where a significant change to OHSW&IM documentation has the potential for University wide impact, (other than procedures, guidelines and forms), is proposed, a final draft shall be prepared for approval by the Senior Management Group (SMG).

Where minor changes to a document are required the revised document is placed on the OHSW&IM website and communicated to relevant staff to facilitate implementation with the next review date entered onto the review schedule.

The OHSW&IM documentation review schedule is to include; date of issue, last review date and next review date. Obsolete OHSW&IM documentation is to be archived electronically.

OHSW&IM documents are to be reviewed on at least a three yearly cycle unless there is a change in legislation, a change in process or substance, or a requirement to review procedures following an incident or in response to continuous improvement of the OHSW&IM system.

### **3. New Documentation**

The requirement or need for any new documentation to be introduced to the OHSW&IM system may be initiated by the SMG, Manager OHSW or by recommendation of the University OHSW&IM Committee.

The procedure for new documentation is as follows:

- Development of a draft document for procedures, guidelines and forms is communicated to relevant stakeholders for consultation and comment and is placed in the [Draft documents for comment](#) section on the web page for feedback.
- Where new documentation has the potential for University wide impact, (other than procedures, guidelines and forms), after consultation a final draft is to be prepared for approval by the Senior Management Group (SMG).
- Once ratified the final document is placed onto the OHSW&IM website
- Communication regarding a new document is provided to relevant staff to allow implementation.
- This document is placed onto the review schedule. The approval date and the scheduled review date will be indicated on the schedule.

### **4. Document Format**

All OHSW&IM documents are to use standard format, specific to the document type. Workplaces are encouraged to review procedures and forms to ensure they are specific to their needs.

The following is applicable to all procedures:

- Title
- Purpose
- Definitions
- Roles and responsibilities
- Procedural content
- Performance measures
- Documents/ Forms
- References

Standard Operating Procedures (SOP's) are to be developed using form OHSW8.

All other documents and forms which are endorsed by UniSA should remain in the standard format with alterations to information or processes to meet the individual needs of each workplace.

Each workplace shall appoint a person who has the responsibility to establish and maintain it's documentation.

Workplace OHSW&IM hard copy documentation must be filed in an orderly manner and be readily located. Obsolete electronic and hard copy documents are to be archived and retained for legal and auditing purposes.

## 5. Keeping OHSW&IM Records

Records (or copies where appropriate) shall be kept and be readily accessible, periodically reviewed and updated as necessary. Records are to be legibly documented either in writing or electronically and must include dates and the authorising personnel's name. The storage, indexing and identification of records shall facilitate their efficient and effective retrieval /replacement.

Where possible all workplaces should maintain a workplace OHSW home page which incorporates all records and documents relevant to that area in an electronic format.

All documents will be maintained in accordance with legislative requirements and will be kept within the workplace, either in hard copy or electronically, for auditing purposes.

Any records that are archived outside of the workplace environment shall be recorded on the University [Records Management](#) System that lists: type, format (eg hardcopy, digital disk etc) retention period, storage location, and disposal date.

The following records (where relevant) shall be maintained:

<b>Records relevant to the OHSW&amp;IM Management System</b>	
<b>Procedure/forms</b>	<b>Record retained for</b>
<b>Action Planning and Performance Review</b>	
<a href="#">OHSW3 – Workplace OHSW&amp;IM Action Plan</a>	at least 2 years from the expiry date of the plan
<a href="#">OHSW7 – OHSW&amp;IM Performance Review</a>	at least 2 years
<b>Auditing OHSW&amp;IM</b>	
<a href="#">OHSW4 – Workplace OHSW&amp;IM System Assessment</a>	at least 8 years from the date of the report
<b>Chemical Spill Management</b>	
<a href="#">OHSW58 – Chemical Spill - Incident &amp; Risk Assessment Response Checklist</a>	at least 40 years
<a href="#">OHSW59 – Risk Assessment - Chemical Spill. and Environmental Risk Worksheet</a>	at least 40 years
<b>Communicable Disease</b>	
<a href="#">OHSW2 - General Hazard Identification and Risk Assessment</a>	at least 5 years
<b>Confined Space</b>	
Training records in relation to confined space	at least 5 years from the date of training
<a href="#">OHSW35 – Confined Space Risk Assessment Worksheet</a>	at least 5 years
<a href="#">OHSW36– Confined Space Written Authority (Entry Permit)</a>	at least 1 year
<a href="#">OHSW37 – Confined Space Entry Permit – High Risk</a>	at least 1 year
<a href="#">OHSW38 – Hot Work Permit for Confined Spaces</a>	at least 1 year
<b>OHSW Consultation</b>	
<a href="#">OHSW19 – Health and Safety Representative Nomination</a>	at least 3 years
<a href="#">OHSW21 – Notice of Election Result</a>	at least 3 years
<a href="#">SafeWorkSA – Health and Safety Representatives Notification of Election</a>	at least 6 months
Default Notice –declaration by the health and safety representative under the OHSW Act	at least 3 years
OHSW&IM Committee Minutes and reports	a permanent record
Workplace OHSW&IM Workgroup minutes and reports	until 2040

<b>Contractor Management</b>	
OHSW27 – Contractor’s Permit to Work	at least 5 years
OHSW28 – Contractor OHSW Induction Checklist	at least 5 years
OHSW76 – Contractor OHSW Evaluation Checklist	at least 5 years
OHSW77 – Contractor Site Observation Checklist	at least 5 years
<b>Electrical Equipment Inspection and Testing</b>	
OHSW25 – Electrical Equipment Register	at least 7 years
OHSW26 – Residual Current Devices Register	at least 7 years
<b>Ergonomic for Screen-based Workstations</b>	
OHSW45 – Workstation Assessment	at least 5 years
<b>Fieldwork Health and Safety</b>	
OHSW2 – General Hazard Identification and Risk Assessment	at least 5 years
OHSW39 – Fieldwork Health and Safety Acknowledgment	at least 2 years
OHSW42 – Authority to Exchange Information	at least 2 years
OHSW71 – Fieldwork health and safety information	at least 2 years
OHSW72 – Fieldwork health and safety information notice	at least 5 years
OHSW73 – Fieldwork Health and Safety Checklist	at least 5 years including any risk assessments
<b>First Aid</b>	
First Aid Incident Register located in each First Aid Kit	at least 3 years
<b>Hazard Management</b>	
OHSW1 - Hazard Register	at least 40 years
OHSW2 - General Hazard Identification and Risk Assessment	at least 5 years
OHSW31- Plant Registration Register	a permanent record
OHSW40 - Plant Register	at least 40 years
OHSW41 - Plant Hazard Identification and Risk Assessment	for the currency of that assessment and for at least 5 years
<b>Hazardous Substances and Dangerous Goods Management</b>	
OHSW10 – Substances Register	at least 40 years
OHSW12– Chemical Process Risk Identification and Assessment	at least 5 years and must be reviewed at intervals not exceeding 5 years
OHSW12A – Initial Risk Assessment for Laboratory Procedures by Researchers using Substances	at least 40 years
OHSW78 – Emergency Dangerous Goods Manifest	at least 40 years
<b>Incident/Hazard Reporting and Investigation</b>	
OHSW9 – Incident Report and evidence of reporting notifiable injury and dangerous occurrences to SafeWorkSA.	workplace copy at least 5 years, central copy at least 45 years
<b>OHSW Induction</b>	
OHSW23 – Induction Checklist	at least 5 years

<b>Licences, Registrations and Certificates of Competence</b>	
OHSW 30 – Employee Licence and Certificate of Competency Register	at least 30 years
OHSW31 – Plant Registration Register	a permanent record
OHSW32 – Licensed Dangerous Substance Storage Register	at least 40 years
OHSW33 – Premises Containing Unsealed Radioactive Sources Register	at least 40 years
OHSW34 – Sealed Radioactive Sources Register	at least 40 years
<b>Manual Handling</b>	
OHSW 46 – Manual Handling Risk Checklist	at least 5 years
<b>Project Proposal Safety Authorisation</b>	
OHSW 70 - Project Proposal Safety Authorisation	at least 10 years
<b>Purchasing and OHSW</b>	
OHSW79- Pre Purchasing Checklist, Design, Plant and Substances	for the currency of that assessment and for at least 5 years
<b>Rehabilitation for Injured Staff</b>	
OHSW42 – Authority to Exchange Information	until 75 years after the workers date of birth or at least seven years after the case has been closed whichever is the later
OHSW44 – Rehabilitation Program	until 75 years after the workers date of birth or at least seven years after the case has been closed whichever is the later
OHSW49 – Workers' Compensation Leave Notification	until 75 years after the workers date of birth or at least seven years after the case has been closed whichever is the later
OHSW 67 - Rehabilitation Case Closure Report	until 75 years after the workers date of birth or at least seven years after the case has been closed whichever is the later
<b>Signage of OHSW</b>	
OHSW 48 – Safety Sign Requirements	at least 5 years
<b>Standard operating procedure development</b>	
OHSW8 – Standard Operating Procedure, or Manufacturer's Operator's Manual	at least 5 years a record of completed training in relevant Standard Operating Procedure(s) must be maintained
<b>Training Needs and Planning</b>	
OHSW13 – Training Needs Analysis	at least 5 years
OHSW23 – Induction Checklist	until 7 years after termination of employment

<b>Worksite Inspection</b>	
OHSW16 - Workplace Inspection - General Environment	at least 5 years
OHSW17 - Workplace Inspection - Laboratory Environment and Chemical Handling Areas	at least 5 years
<b>Working Alone or in Isolation</b>	
Records of approval	at least 5 years
OHSW2 - General Hazard Identification and Risk Assessment	at least 5 years

## 6. Access and Use of records

Records are to be readily accessible to authorised personnel only for, but not limited to the following purposes:

- Analysis/investigation
- Auditing
- Legal requirements
- Revision
- Training;

For information on retrieval of archived material which has been archived within the University Records Management system contact [Records Management](#).

### References

[University OHSW&IM Policy](#)

[University OHSW&IM Strategic Plan \(PDF 358kb\)](#)

[University OHSW&IM Management System \(PDF 250kb\)](#)

[Occupational Health, Safety & Welfare Act, 1986](#)

[Occupational Health, Safety & Welfare Regulations, 1995](#)

### Further Assistance

Further advice and assistance on keeping OHSW&IM records is available from OHSW Services, in the Human Resources Unit.