



Policy Hierarchy link	Work Health and Safety Act 2011 Work Health and Safety Regulation 2011 Work Health and Safety Policy		
Responsible Officer	Director, UNSW Safety and Sustainability		
Contact Officer	Manager, UNSW Health & Safety		
Superseded Documents	OHS311 Document and Record Control Procedure V1.7		
File Number	2015/20434		
Associated Documents	UNSW Recordkeeping Policy UNSW Health & Safety Unit Document Control Register		
Version	Authorised by	Approval Date	Effective Date
1.8	Director, UNSW Safety and Sustainability	8 February 2016	8 February 2016

1. Purpose and Scope

The Document Control procedure outlines how UNSW will comply with its legal requirement under the Work Health and Safety Act and Regulation 2011 and the Safe Work NSW National Self Insurance requirements.

This procedure sets out the process for creating, modifying, approving and management of Health and Safety (H&S) documents to ensure consistency in the application of the health and safety management system.

This procedure applies to all documents created under the UNSW Health and Safety Management System (HSMS).

2. Definitions

Document: Is a written policy, procedure, guide, template, fact sheet used to communicate information. Examples include the University’s Health and Safety Policy, Risk Management Procedure, Workplace Inspection Template, Workstation assessment checklist, Picric Acid Protocol etc.

Controlled document: Is any health and safety document for which distribution and status are to be kept current by the issuer to ensure that authorized holders or users have the most up-to-date version available.

Uncontrolled document: Is any health and safety document that does not have a traceable distribution. Uncontrolled documents should be current at the time of issue (or printing from a website) and marked appropriately, at least with the words “uncontrolled”.

Document Control Register: A register of all health and safety documents controlled by the area, indicating the unique document number, version history and responsible officer.

TRIM: (Total Record Information Management) The Corporate electronic records management system.

3. Procedure

3.1 Documents

All policies and procedures must be developed in accordance with the [Policy Framework](#) established by [Governance](#). All policies, procedures, guidelines and protocols must be created using the [UNSW templates](#) to ensure they have the same style, format and document control properties.

Where no template is available, all controlled documents must contain the following document control information:

- Faculty/Division
- School/Divisional Unit
- Unique document number
- Initial issue/created date
- Current version number
- Current version issue date/effective date/approved date
- Next review date

Each document must have a document custodian who is responsible for maintaining the document.

All health and safety documents need to be legible, dated, readily identifiable, available upon request and maintained in an orderly manner.

Documents must be stamped or otherwise identified as obsolete, under review or draft. Obsolete documents must be removed from points of issue and use (e.g. website and TRIM), be marked as such and archived.

3.2 Central H&S documents

UNSW Health & Safety are responsible for the creation, modification and review of all central health and safety documents that make up the UNSW Health and Safety Management System (HSMS).

Central health and safety documents outline the minimum requirement that local areas must follow to be compliant with legislation and the UNSW HSMS. Some documents allow for modification by the local areas to suit their requirements e.g. the workplace inspection checklist can have additional items added to it, but nothing can be removed from it.

When central health and safety documents are created and reviewed the principles of the Governance policy development process will be followed:

<http://www.gs.unsw.edu.au/policy/creators/process/index.html>; relevant persons are notified of changes by following the consultation and review procedures. All documents under consultation shall have a “DRAFT” watermark.

Central documents are approved according to the [Register of Delegations](#) where relevant; otherwise they are approved by the UNSW Safety and Sustainability Director.

The approval date of health and safety documents is the date on which the UNSW Safety and Sustainability Director signs the cover sheet, the effective date is the date the procedure takes effect which is usually when it becomes publicly available on TRIM/the website.

All central health and safety documents are stored on TRIM which acts as the Document Control Register. All central health and safety documents will have a unique TRIM Record Number as a consequence of being registered to TRIM, in addition to the unique document number.

All central health and safety documents are available on the UNSW Health & Safety website and on TRIM as controlled documents; once printed they are uncontrolled.

When central health and safety documents are updated the new versions will be available on the website and on TRIM. The website should be checked regularly to ensure currency. TRIM will always have the most current version.

3.3 Local H&S documents

Local areas may produce health and safety documents, these usually outline how a central document will be implemented in the local area e.g. there is a central After Hours Guideline (HS322) which recommends developing a local area document with further detail.

Local documents must refer to the central document it relates to and must not contradict or change systems; simply add more detail or specific responsibilities.

When creating and reviewing local documents the local area health and safety consultation process should be followed e.g. consultation and approval through the Level 3 Health and Safety Consultation Committee. Local documents shall be approved by the relevant Dean, Head of School, Unit Manager or committee chairperson who has authority over the activity/work area. Notification of new or amended documents should be provided to all affected workers by suitable means e.g. through health and safety representatives, whole school/Division meetings, email broadcasts etc.

Local documents must be stored in the most up-to-date version in a central area (e.g. local shared drive or website/intranet) available to all relevant people.

3.4 Health & Safety Document Control register

All areas must maintain a Health & Safety Document Control Register if they create local documents. Each area must appoint a Document Control Officer who has the responsibility to establish and maintain the local health and safety Document Control Register. This responsibility shall be written into position descriptions, the H&S responsibility matrix or other similar document.

When a new document is created it must be provided with a unique document number, with version number and date (e.g. SCI_SWP_001, v1.0, 31.12.2013) then added to the register. The [UNSW version control process](#) shall be followed.

The document control register must contain document number, document title, date originally created, current version number, current version date, next review date, responsible person(s) and location of where the original document is store, for example:

Document number	Document title	Initial issue date	Current version number	Current version issue date	Next review date	Responsible officer	Location
SC_SWP_001	Example	31.12.13	V1.0	31.12.13	31.12.16	A. Person	Shared drive AB

Electronic versions of the document control register, in the form of spreadsheet or database application, are permitted provided they contain the above information.

3.5 Document Review

Documents shall be reviewed by a competent person in accordance with the HSMS Review Procedure, in the following circumstances:

- On a regular basis (e.g. every 3 years)
- When there is a change in legislation
- When there is a change in self insurance requirements
- When there is a change in standards/industry practice
- When there is a system failure reported
- Following an incident

- Following suggestions from workers

Any modification needs to be approved in accordance with sections 3.3 or 3.4 above. Notification of modifications to affected persons shall be in accordance with the consultation mechanisms outlined in sections 3.3 or 3.4 above.

All version controls shall follow the Governance Support guidance:

<http://www.gs.unsw.edu.au/policy/creators/versions.html>

3.6 Collection, indexing and filing

Hard-copy documents should be filed using a method appropriate to their type and any security arrangements that might apply. Such methods could include sequential numbering, sorting by date etc.

The order of filing should be such that retrieval of the document is easy and obvious. Any health and safety document which could contain confidential information should be filed in a manner that prevents unauthorized access.

3.7 Storage and maintenance of documents and records

The storage and maintenance of health and safety documents should be as outlined in the Health & Safety Document Control Register i.e. detailing the location, responsible person, next review date etc.

3.8 Access and confidentiality

Any document which contains confidential information must be noted on the Health & Safety Document Control Register and stored in a secure area to which only authorized persons have access. A system should be established to handle any requests for access to such documents and appropriate approvals sought and received in advance.

3.9 Archiving or disposal of documents and records

Authorisation from the Records and Archives Office must be received before original health and safety documents are destroyed.

Most health and safety documents will have an ongoing role in terms of the operations and obligations of UNSW. Before archiving or disposal of any documents their continuing use for legal or system evaluation purposes must be identified.

Refer to the UNSW Recording Keeping Policy and the Records and Archives Office for details on archiving and disposing.

Obsolete documents can be identified by checking the document version number against the most up-to-date version on the website/TRIM. Central health and safety documents will be removed from the website to prevent unintended use.

4. Review & History

This procedure will be reviewed at the frequency outlined in the HSMS Review Procedure. The authorisation and amendment history for this document must be listed in the following table. Refer to information about [Version Control](#) on the Policy website.

Version	Authorised by	Approval Date	Effective Date	Sections modified
1.0	Director, Human Resources	01/01/2007		New document developed by merging two procedures - Document Control and Record Control
1.1	Director, Human Resources	25/06/2007		Added 4.11: References to Records Administration replaced with Records & Archives. Privacy, confidentiality section added

1.2	Director, Human Resources	09/08/2007		Minor changes to Sections 3.0, 4.3 Section 4.8 added Sections 4.9, 4.10, 4.11, 4.12, 5.1 amended
1.3	Director, Human Resources	13/12/2007		Section 4.4:OHS records to be kept in local area
1.4	Director, Human Resources	1/10/2008		Section 4.3 and 4.4:Electronic versions permitted; Separation of local and corporate document control requirements
1.5	Director, Human Resources	23/10/2009		Section 4: Update of procedure
1.6	Director, Human Resources	24/04/2013		Removed reference to Records. Updated Branding Logo in accordance with UNSW Branding Guidelines. Modified the document identifier from OHS to HS in accordance with WHS legislation review
1.7	Director, UNSW Safety and Sustainability	30 April 2014	30 April 2014	Reviewed for administrative updates
1.8	Director, UNSW Safety and Sustainability	8 February 2016	8February 2016	Documents have Initial issue date and/or effective date. Approval by UNSW Safety and Sustainability Director (instead of HS Director)