

 UNSW <small>THE UNIVERSITY OF NEW SOUTH WALES</small>	OHS Document and Record Control Procedure
UNSW Procedure	
Control number	OHS311-2006
Linked UNSW Policy	This procedure details actions and processes pursuant to the UNSW OHS Policy.
Responsible Officer	Director, Human Resources
Authorisation	Director, Human Resources
Contact Officer	Manager, OHS&WC
Effective Date	January 1, 2007
Superseded Documents	OHS311 OHSMS Document Control OHS317 OHSMS Record Management
Review	This procedure will be reviewed in accordance with the OHS Management System Review Procedure
File Number	TRIM Administrative file number xxxx-2006

1. Purpose

The purpose of the OHS Document and Record Control Procedure is to provide direction for the implementation of OHS document and record control at UNSW. This procedure describes the methodology for ensuring consistency in the generation and management of OHS documents and records.

2. Scope

This procedure applies to all documents and records that constitute the UNSW OHSMS and other OHS related documents and records.

This procedure refers to:

OHS Document and Control Register Form

http://www.hr.unsw.edu.au/ohswc/ohs/docs/reg_doc&record_control.doc

3. Definitions

The University defines *“a University record as any document, regardless of medium or format, created or received by University staff in the course of official duties, and kept as evidence of the transaction of University business. For the purposes of recordkeeping at UNSW, electronic, digital and voice messages are considered to be records.”*

For the purposes of OHS the following definitions apply:

OHS Documents are defined as but not limited to policies, procedures, guidelines, programs, agreements, forms, checklists, templates, risk assessments and safe work procedures.

OHS Records are defined as but not limited to audit reports, workplace inspections, risk assessments, safe work procedures, training plans and registers, OHS meeting minutes, emergency evacuation reports, health monitoring reports, document control registers, inspection testing and monitoring reports and corrective action registers.

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

An uncontrolled document or record does not have a traceable distribution. Uncontrolled documents or records should be current at the time of issue (or printing from a website) and marked appropriately, at least with the words “uncontrolled”.

4. Procedure

At all times OHS documents and records shall be maintained in accordance with the UNSW Recordkeeping Policy. The University has implemented TRIM (Total Records & Information Management) as the University’s corporate recordkeeping system.

At the time of approval of this procedure the TRIM system is not implemented University-wide. Therefore step 4.1 below is optional and may not be appropriate in all University units.

4.1 Establish a TRIM Administrative file – Optional step

To establish a TRIM Administrative file contact the TRIM Administrator in the Records Administration Section. The TRIM file must contain all documents and records related to that topic.

4.2 Establish an OHS Document and Record Control Register

An OHS Document and Record Control Register shall be established and maintained to manage all OHS documents at UNSW. The OHS&WC Unit is responsible for an OHS Document and Record Control Register for UNSW-wide OHS documents, for example, procedures, guidelines, forms, etc.

Each School/Unit shall appoint a School/Unit OHS Document and Record Control Officer who has the responsibility to establish and maintain the School/Unit OHS Document and Record Control Register.

4.3 Populate and maintain the OHS Document and Record Control Register

The OHS Document and Record Control Register must contain the following information. All authors of OHS documents and records for inclusion in the Register must provide this information.

TRIM Number	Document/Record Number	Document/Record Title	Initial Issue Date	Current Version Number	Current Version Issue Date	Next Review Date	Responsible Officer

The OHS Document and Control Register Form is available at:
http://www.hr.unsw.edu.au/ohswc/ohs/docs/reg_doc&record_control.doc

4.4 Footer

The Policy Management Unit requires the following footer to be attached to all UNSW documents:

Document Name
Uncontrolled document when printed

Page x of y

Date Effective: xx/xx/xxxx
Current Version: x.x,xx/xx/xxxx

4.4 Responsibilities

- One person shall be responsible for the maintenance of the UNSW OHS Document and Record Control Register. This person shall be a staff member of the OHS&WC Unit.
- Responsibilities related to the creation and review of OHS documents and records and the maintenance of the OHS Document and Record Register shall be documented in position descriptions, an OHS responsibilities flowchart or matrix or a similar format.
- Each School or Unit where an OHS Document and Record Register is to be established must appoint a local OHS Document and Record Control Officer.

4.5 Implementation

- Schools and Units must use the controlled documents available from the OHS&WC website. Some of these documents allow for modification to suit specific workplace requirements, eg workplace inspection checklist.
- All OHS documents and records need to be readily accessible and available upon request by the UNSW OHS Document and Record Control Officer and others authorised to do so.
- Corrective actions shall be undertaken to address non-conforming OHS documentation.

4.6 Control and Review

- All OHS documents and records on the UNSW OHS&WC website are controlled. All OHS documents and records printed from the OHS&WC Unit website are uncontrolled. The website should be checked regularly to ensure currency.
- The OHS&WC Unit Manager is responsible for review of all OHS UNSW-wide documents and records maintained by the OHS&WC Unit.
- All OHS documents and records shall be reviewed in accordance with the OHS Management System Review Procedure
- Any changes to these documented procedures shall be recorded and communicated to employees.

4.7 Typical OHS documents

Some examples of documents that shall be kept are listed below:

- OHS Policy
- OHS Programs
- OHS Procedures
- OHS Guidelines
- OHS Safety Alerts
- OHS Information Sheets

4.8 Typical OHS records

Some examples of records that shall be kept are listed below:

- qualifications, skills, knowledge, competency and certifications;
- induction and training;
- workplace inspection and plant/equipment test reports;
- OHSMS audit reports;
- hazard and incident reports and investigations;
- minutes of OHS meetings;
- minutes of OHS meetings relating to OHS management system reviews;
- statistical analysis of OHS data;
- OHS corrective actions plans;
- safety equipment records;
- hazardous substances and dangerous goods;
- design review;
- contractors OHS requirements;
- corrective actions;
- airborne contaminant testing and health surveillance records.

4.9 Archiving or disposal of documents and records

Most OHS documents and records will have an ongoing role in terms of the operations, rights and obligations of UNSW. Therefore it is unlikely that a TRIM file created for OHS purposes, or the documents and records contained within, will require disposal. For further information on disposal of documentation contact the Records Administration Section.

Before archiving or disposal of any documents or records, their continuing use for legal or system evaluation purposes must be identified.

5. Legal & Policy Framework

5.1 Associated Documents

UNSW Recordkeeping Policy

OHS Document and Record Control Register OHS085-2006

UNSW Recordkeeping: An Overview for administrative staff, Records Administration Section, March 2004

Guidelines on Normal Administrative Practice in Recordkeeping, Records Administration Section, August 2004

6. Evaluation & History

The procedure will be reviewed to address changes in legislation or any changes within the University that impact on record and document control and in accordance with the OHS Management System Review Procedure

6.1 Modifications

Version	Date	Author	Approval	Sections modified	Details of amendments
0.1	1/11/2006	Lindsay O'Keeffe	Manager, Human Resources		New document
0.2	5/12/2006	Lindsay O'Keeffe	Manager, Human Resources	2. Scope 4.4	Weblinks added Additional responsibilities

7. Acknowledgements

WorkCover NSW, "Occupational Health and Safety Model for Self Insurers", July 2005.