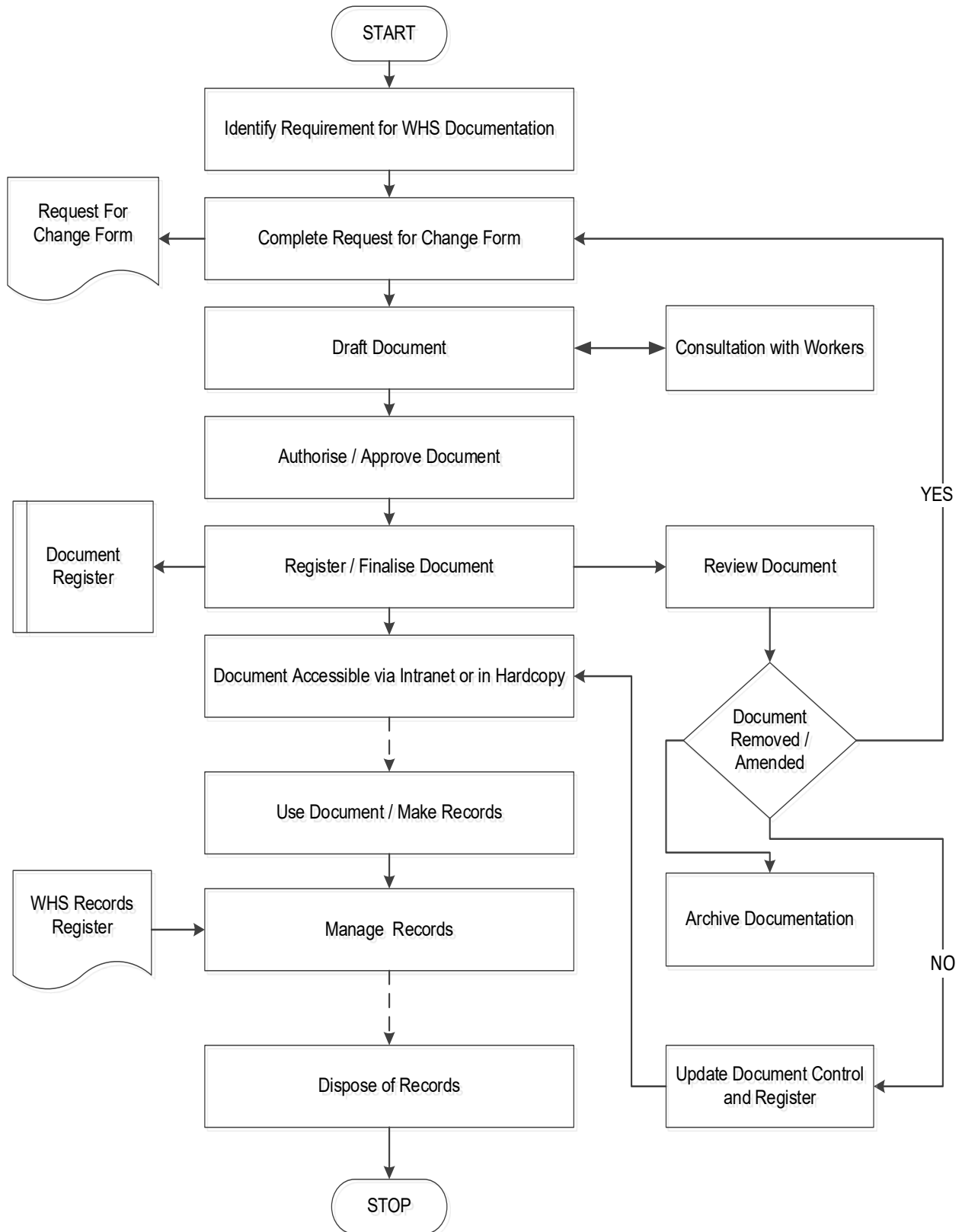


# DOCUMENT CONTROL and SAFETY RECORDS

## 1.0 SUMMARY / FLOWCHART



## 2.0 RESPONSIBILITIES

<b>Organisational Level</b>	<b>Health and Safety Responsibilities</b>
<b>Level 1</b> ( <i>CEO and Directors</i> )	Authorise and endorse Work Health and Safety Policy ( <i>CEO</i> ).
	Review and approve Work Health and Safety Procedures.
<b>Level 2</b> ( <i>Section Manager, Unit Manager / Unit Co-ordinator, Project Manager</i> )	Identify the requirement for the creation of Work Health and Safety documentation in response to “Change Events” outlined in this procedure.
	Consult with affected workers regarding changes in Work Health and Safety documentation.
<b>Level 3</b> ( <i>Co-ordinator within a Unit, Team Leader, Supervisor, Ganger or Leading Hand or Operator</i> )	Contribute to the identification of the requirement for the creation of Work Health and Safety documentation in response to “Change Events” outlined in this procedure.
	Communicate changes in Work Health and Safety documentation to workers.
	Supervise workers to ensure work is carried out in compliance with Work Health and Safety documentation.
<b>Level 4</b> ( <i>Team Member, Operator, Attendant, Trainee, Apprentice</i> )	Access Work Health and Safety documentation when required.
	Comply with the requirements documented within Work Health and Safety documentation.
	Report to Supervisors any discrepancies in Work Health and Safety documentation.
<b>Level 5</b> ( <i>Volunteer, Contractor, Other</i> )	Access Work Health and Safety documentation when required.
	Comply with the requirements documented within Work Health and Safety documentation.
	Report to SCC Contract Managers any discrepancies in Work Health and Safety documentation.
<b>Chief Safety Officer</b>	Monitor conformance of WHS Management System documentation to the requirements of this procedure.
	Liaise with Managers and Supervisors regarding the need to create Work Health and Safety documentation.

## 3.0 PURPOSE & SCOPE

### 3.1 PURPOSE

- 3.1.1 This procedure establishes the processes for the control of WHS Management System documentation, with the aim to:
- 3.1.1.1 ensure that documentation is developed in a consistent manner.
  - 3.1.1.2 ensure that documentation is reviewed when scheduled or in response to changing circumstances to maintain currency and relevance.
  - 3.1.1.3 ensure that WHS Management System documentation and related information is made accessible to personnel.

- 3.1.1.4 ensure that superseded WHS System documentation is retained for knowledge preservation purposes.
- 3.1.2 This procedure documents Shoalhaven City Council's (SCC's) program for the management of WHS records to ensure that:
  - 3.1.2.1 WHS Management System records are collected, identified, and indexed in a systematic manner.
  - 3.1.2.2 Records are retained for specified periods, retrievable when required, and properly stored to prevent deterioration or damage.
  - 3.1.2.3 WHS Management System records documenting information considered confidential are accessible to authorised persons only.
  - 3.1.2.4 Records are correctly disposed of at the expiry of the defined retention period.

### **3.2 SCOPE**

- 3.2.1 The Document Control procedure applies to the following SCC WHS Management System documentation and any amendments or revisions made to them.
- 3.2.2 Corporate WHS policies, procedures, safe work instructions, safe work method statement and records.
- 3.2.3 Directorate WHS, procedures, safe work instructions and records.
- 3.2.4 The Records Management program applies to all records made as a result of the operation of SCC's WHS Management System.

## **4.0 PROCEDURE**

### **4.1 IDENTIFICATION OF THE NEED FOR DOCUMENTATION**

- 4.1.1 The Management of SCC, in consultation with workers and the WHS Team, will identify the need for new or additional WHS documentation in response to any "Change Event" or "Reason for Documentation" where an increased exposure to health and safety risk, above the level of risk deemed acceptable or tolerable, resulting from the absence of such documentation.
- 4.1.2 The need for additional WHS documentation may arise as a result of the following "Change Events" or "Reasons for Documentation":
  - 4.1.2.1 the identification of new or amended legislative requirements.
  - 4.1.2.2 the introduction of new plant and equipment.
  - 4.1.2.3 new or changed processes, products or services.
  - 4.1.2.4 the findings of incident investigations.
  - 4.1.2.5 the corrective actions identified as an outcome of audits.
  - 4.1.2.6 The decision for new documentation will be supported by a consultative process based on risk .

4.1.2.7 P04.F01 Request for Change Form will be completed for each proposed document.

## **4.2 CREATE / DRAFT DOCUMENTATION**

- 4.2.1 All new and revised WHS documentation will be prepared using the appropriate template or “Blueprint” located in Document Assembly within Word.
- 4.2.2 The following Blueprints/ templates are available:
  - 4.2.2.1 Policies.
  - 4.2.2.2 Procedures.
  - 4.2.2.3 Safe Work Instructions.
  - 4.2.2.4 Safe Work Method Statements (to be used for high risk construction work).
- 4.2.3 The headings within the templates are not to be removed and are required as a minimum when adding content.
- 4.2.4 Headers and footers within blueprints are not to be removed.
- 4.2.5 Compulsory actions are indicated by the word “will”.
- 4.2.6 WHS Management System documents are to be saved and edited in TRIM. The TRIM Assistance website has information and resources available to TRIM users. Training in TRIM can also be arranged through the IT Trainer and/or Training and Development.

## **4.3 DOCUMENT STRUCTURE**

- 4.3.1 Work Health and Safety procedures will be structured using the headings listed in the following table:

<b>Section Number</b>	<b>Heading</b>	
<b>1.0</b>	Summary / flowchart	Summary of the process.
<b>2.0</b>	Responsibilities	Documents within a table providing summary of requirements for each level.
<b>3.0</b>	Purpose & Scope	Documents the objectives and applicability of the documented procedure.
<b>4.0</b>	Procedure	The process steps required to complete the task, activity or procedure.
<b>5.0</b>	References & Associated Documents	List of legislative and other requirements relevant to the task, activity or procedure and any WHS Management System documents referred to within the document.
Appendix 1	Definitions	
	Further appendices as required.	

**4.4 FORMAT**

4.4.1 The following Style Sheet will be applied to all WHS documentation:

<b>Heading 1</b>	Arial, Bold, 18 points, centred.
<b>Heading 2</b>	Arial, Bold, 12 points, left justified, indent 1.27 cm.
Text	Arial, 12 points.

4.4.2 Document numbering will be in the format:

**1.0**

**1.1**

1.1.1

1.1.1.1

(a)

(i)

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4.4.3 WHS Documents may be presented in a format that varies from the original blueprint template on electronic mobile devices in order to make accessing WHS information more user friendly on these devices.

**4.5 CONSULTATION**

4.5.1 During the development of Work Health and Safety documentation affected workers will be consulted in accordance with Consultation and Communication procedures.

**4.6 APPROVAL AND AUTHORISATION OF WHS DOCUMENTS**

4.6.1 Changes to WHS Management System documentation will be recorded on P04.F01 Request for Change or New Process Form, which is to be entered and saved in TRIM as a related record to the relevant document.

4.6.2 Corporate WHS Documents

4.6.2.1 Following consultation, Corporate WHS Management System controlled documents will be presented to the Committee of Safety Review with recommendations for the CEO or delegate to authorise and adopt.

4.6.2.2 A record will be kept of the consultation dates, recommendations from the Committee of Safety Review, adoption by the CEO or delegate and release issue details.

4.6.2.3 A WHS Document Review Register containing a list of all Corporate WHS Management System documents will be maintained.

4.6.3 Directorate WHS Documents

- 4.6.3.1 All Directorate WHS documents will be presented through the relevant WHS Committee for consultation and forwarded to the WHS Team for review, where required, prior to adoption by the WHS Committee.
- 4.6.3.2 The Committee minutes will reflect the documents adopted at that meeting and those minutes will be presented to the CSR as “information only”.
- 4.6.3.3 All adopted policies, procedures, safe work instructions, safe work method statements and guidelines will be finalised in TRIM and accessible on the intranet.

#### **4.7 NOTIFICATION**

- 4.7.1 Workers will be notified of changes to WHS documentation in accordance with the Consultation arrangements. A record will be kept of the notification.
- 4.7.2 It is the responsibility of managers and supervisors to ensure their workers are aware of the changes.

#### **4.8 ACCESSIBILITY OF WHS DOCUMENTATION**

- 4.8.1 Relevant adopted Corporate and/or Directorate WHS Management System documentation will be available to workers, via SCC’s intranet or in hardcopy, at all work locations.
- 4.8.2 The Chief Safety Officer will have the responsibility for the management and maintenance of the WHS Intranet page and may delegate this duty within the WHS Team.
- 4.8.3 Workers who have been assigned a Hard Copy Control Manual, are responsible for ensuring it is up to date by:
  - 4.8.3.1 Inserting new and changed documents.
  - 4.8.3.2 Removing superseded documents.

#### **4.9 REVIEW OF WHS MANAGEMENT SYSTEM DOCUMENTATION**

- 4.9.1 All WHS documentation will be reviewed, as required, by competent persons (minimum Certificate IV in WHS) due to changes in relevant legislation, Codes of Practice, processes or equipment.
- 4.9.2 Review of Safety documentation should be included in Inspection Testing and Monitoring Annual Plans to ensure documents do not pass their review date.
- 4.9.3 The nominated review period will be 3 years unless a shorter timeframe is defined in the footer of the WHS Management System document.
- 4.9.4 New and reviewed documents will be undertaken in consultation with workers that will be affected by the changes. For any documents that fall overdue for review the document is to be deemed effective until such time as the document is reviewed and adopted.

- 4.9.5 Reviewed documents not requiring changes can be presented to the relevant committee for information only and noted in the minutes.
- 4.9.6 Where minor changes such as typographical errors, changes in titles, references or other changes that do not change the intent of the document are required, documents do not need to be resubmitted to committees or placed out for consultation.
- 4.9.7 Documents in draft form are to be clearly identified.

**4.10 ARCHIVING WHS DOCUMENTATION**

- 4.10.1 Obsolete and superseded documents will be promptly removed from the WHS Management System and retained and archived in accordance with section 4.11.5 Retention and Maintenance of WHS Records.
- 4.10.2 Directorates will be responsible for removing Directorates Documents from circulation and points of reference.

**4.11 RECORDS MANAGEMENT**

- 4.11.1 SCC will implement a Records Management Program that satisfies the following:

<b>Records Management Program</b>	
Procedure guiding the Program	P04 Document Control and Safety Records is the primary guidance procedure.
Compliance Requirements	WHS Act 2011 Parts 5 – 7. WHS Regulation 2017 Chapters 2 – 8. State Records Act. Records and records management.
Resource Providers	CEO and Directors for resourcing Shoalhaven City Council-wide Health and Safety Records Management Program. Section Managers for implementing the Health and Safety Records Management Program in their section.
Human Resources	Managers that implement the Health and Safety Records Management Program in their area. WHS Team personnel that manage the SCC Health and Safety Records Management Program.
Competency Requirements	WHS Team personnel that manage the SCC Records Management Program will have a minimum qualification of Certificate IV in WHS, or equivalent.
Responsibilities	Managers are responsible for implementing the Records Management Program in their section. All workers are allocated Health and Safety Records Management Program responsibilities in P01 Responsibility and Supervision.
Timetable	WHS records are made as a result of the operation of the WHS Management System.

<b>Records Management Program</b>	
	<p>Records are identified, collected, indexed and filed in accordance with section 4.11.2.</p> <p>Records are retained in accordance with section 4.11.5 and 4.11.6.</p> <p>Records are retrieved in accordance with section 4.11.7.</p> <p>Records are disposed of in accordance with section 4.11.8.</p>
Reporting and Review	<p>The Records Management Program will be implemented by the position holders with responsibilities allocated in this procedure and associated responsibilities tables / matrices.</p> <p>SCC's management will review and update the Records Management Program to ensure that it complies with relevant legislative and other requirements and that it remains relevant to Council.</p>

4.11.2 Identification, Collection, Indexing and Filing of WHS Records

4.11.2.1 The WHS Management System procedures specify the records to be made.

4.11.2.2 The WHS Records generated by the operation of the WHS Management System include the following:

- a) Qualifications, skills, competency assessments, and certifications.
- b) Induction records.
- c) Inspection and Test Reports.
- d) Audit Reports.
- e) Internal Management System Review Reports.
- f) Incident Reports and Investigations.
- g) Minutes of various WHS meeting i.e., WHS Committee and Committee of Safety Review meetings.
- h) WHS data analysis.
- i) WHS Action Plans.
- j) Design Reviews and Approvals.
- k) Hazardous Chemicals documentation.
- l) Risk Management documentation.
- m) Contractor Management records.
- n) Supplier records.
- o) Records relating to volunteers.

4.11.3 Access and Confidentiality

4.11.3.1 The privacy of individuals and confidentiality of records will be maintained at all times in accordance with legislative and other requirements.

4.11.3.2 Authorised workers will refrain from accessing corporate records, whether physical or electronic, except in accordance with the functions of their position or those availed to them as a member of the public.

- 4.11.3.3 In relation to Workers Compensation and Rehabilitation files the following workers are authorised to access confidential files:
- a) CEO.
  - b) People and Culture, HR, Governance & Customer Services Managers.
  - c) Directors
  - d) Workers Compensation Claims Coordinator.
  - e) Return to Work Officer.
  - f) Authorized Human Resources Staff (including WHS Team).
  - g) Records Staff.
- 4.11.4 The CEO and the People and Culture, HR, Governance & Customer Services Managers may authorise access to other personnel files where such access is required for the effective conduct of Council business or to facilitate compliance with information access legislation or legal discovery processes. A copy of such authorisation will be placed on the relevant file.
- 4.11.5 Retention and Maintenance of WHS Records
- 4.11.5.1 All WHS records are maintained, either via electronic format or as a hard copy. These documents, data and or forms are required to be retained for specified periods, either to satisfy statutory law or specific SCC requirements. The table at Appendix 2 is a list of documents to be retained in accordance with timeframes set by legislation and/or SCC.
- 4.11.5.2 Electronic
- a) Electronic, records are created, maintained and retained in TRIM.
- 4.11.5.3 Hard Copy
- a) If a hard copy record is maintained within the site work locations, for example risk assessments these records will be indexed and stored in such a manner for ease of identification and retrieval.
  - b) It is the responsibility of the Section to identify suitable storage locations and ensure appropriate archive arrangements are in place for the retention time frame.
  - c) Consultation with the Records Team on the arrangements for maintaining and storage of records should occur.
- 4.11.6 Protection Against Damage, Deterioration or Loss – Preservation of WHS Records
- 4.11.6.1 Records Management Unit will store, preserve (archive), and destroy records in accordance with the State Records Act and associated standards.

- 4.11.6.2 Records may only be disposed of by the Records Management Unit with written authorisation from the relevant Director.
- 4.11.6.3 Records will be retained for a minimum of the period as specified by the relevant State Records authority unless specified in other legislation.
- 4.11.6.4 Positions within the WHS Team that have specified responsibilities for record keeping and compliance provisions will have this detailed within their Position Description.
- 4.11.6.5 Directors and Managers (including Contract and Project Managers) will maintain WHS records relevant to their work activities.
- 4.11.6.6 Training, & Organisational Development will maintain records regarding WHS Training. These records will be stored electronically in the approved training and development database.
- 4.11.6.7 Information Technology are to ensure that all electronic records are “backed up” in accordance with SCC’s requirements and preserved off site. All network drives are “backed up” daily to preserve entered data.
- 4.11.6.8 The Information Technology Disaster Recovery Plan documents the storage and retention requirements for electronic records.
- 4.11.6.9 Where only a hard copy record is kept, it is the responsibility of the Section Manager to ensure adequate security arrangements are in place.
- 4.11.7 Retrieval of WHS Records
  - 4.11.7.1 Only staff with the appropriate authority can access and retrieve WHS records. When retrieval is undertaken it must be purposeful, and take into account the Records Security Policy and Procedures’ and ‘Privacy Management Plan’.
  - 4.11.7.2 All archived records must only be accessible and indexed appropriately to allow for ease of retrieval by authorised staff.
- 4.11.8 Disposal of WHS Records
  - 4.11.8.1 The disposal of WHS records will be undertaken by authorised personnel using the disposal method specified in Appendix 2.
  - 4.11.8.2 Disposal of official public records is governed by the State Records Act and Regulations 1998 and will only be carried out in accordance with the appropriate General Disposal Authority.

## **5.0 REFERENCES & ASSOCIATED DOCUMENTS**

**5.1** Work Health Safety Act 2011

**5.2** Work Health Safety Regulation 2017

- 5.3 AS/NZS 4801:2001 Occupational Health and Safety Management Systems – Specification with guidance for use
- 5.4 State Records Act 1998
- 5.5 General Disposal Authority
- 5.6 AS/NZS ISO 1527 Information and documentation – Vocabulary
- 5.7 AS ISO 15489.1 Records Management – General
- 5.8 WHS Policy Template
- 5.9 WHS Procedure/Guideline Template
- 5.10 Safe Work Method Statement (SWMS)
- 5.11 Safe Work Instruction (SWI)
- 5.12 P04.F01 Request for Change or New Process Form

**APPENDIX 1 - DEFINITIONS**

<b>Access</b>	Right, opportunity, means of finding, using, or retrieving information.
<b>Blueprint</b>	Standardised template for documentation created through TRIM Document Assembly.
<b>Competent Person</b>	A person who has acquired, through training, qualifications or experience (or a combination of these) the knowledge and skills enabling that person to perform the task required. The relevant knowledge and skills will be defined and documented.
<b>Consultation</b>	The sharing of information and the exchange of views between duty holders and the persons that must be consulted and the genuine opportunity for them to contribute effectively to any decision-making process that impacts on health and safety.
<b>Destruction</b>	Process of eliminating or deleting records, beyond any possible reconstruction.
<b>Disposal</b>	The actions taken with regard to records following their appraisal and the expiration of their retention periods.
<b>Draft</b>	The preliminary version of a document.
<b>Indexing</b>	Process of establishing access points to facilitate retrieval of records and/or information.
<b>Preservation</b>	Processes and operations involved in ensuring the technical and intellectual survival of authentic records through time.
<b>Procedure</b>	A document in text or graphic format that describes the reason, scope, steps to be followed and responsibilities for a component of the health and safety management system. It may also include definitions and references to other documents. It must be implemented effectively.
<b>Program</b>	A planned component of an organisation's business management system for health and safety. A program can also be a collection of procedures that have a common purpose.

<b>Retention Period</b>	The period of time that records should be retained in their offices of origin or in records centres before they are transferred to an information and documentation organisation or otherwise disposed of.
<b>Retrieval</b>	Process of recovering a specific record from storage.
<b>WHS Document</b>	This will include, but not be limited to, Safe Work Method Statements, Safe Work instructions, WHS Risk Assessment and risk control worksheets, Council and Directorate / Section procedures, standards, forms, correspondence, and tools.
<b>GA 39</b>	Government Record Disposal Act. (The General Retention and Disposal Authority: local government) provides a guide to identify records created and maintained by NSW councils and county councils which are required as State archives, and to provide approval for the destruction of certain other records after minimum retention periods have been met. The authority applies to all records of council business and administration.  The approval for disposal given by this authority is given under the provisions of the State Records Act 1998 (NSW) only and does not override any other obligations of an organisation to retain records.
<b>HPE Content Manager</b>	Electronic Document & Records Management System computer software used to manage corporate records.
<b>WHS Record</b>	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 conduct of affairs kept as evidence of such activity. Records include both hard copy records and also electronic records.
<b>Worker</b>	A person is a Worker if the person carries out work in any capacity for a person conducting a business or undertaking, including work as: <ul style="list-style-type: none"> <li>• an employee.</li> <li>• a contractor or sub-contractor.</li> <li>• an employee of a sub-contractor.</li> <li>• an employee of a labour-hire company who has been assigned to work in the organisation.</li> <li>• an outworker.</li> <li>• an apprentice or trainee.</li> <li>• a student gaining work experience.</li> <li>• a volunteer.</li> <li>• a person of a prescribed class.</li> </ul>

<b>APPENDIX 2 - WHS RECORDS REGISTER</b>								
<b>Internally / Externally Generated</b>	<b>Form or Template Document Number</b>	<b>Record Identification</b>	<b>Responsible Position</b>	<b>Confidential (Yes/No)</b>	<b>Storage Location</b>	<b>Method of Indexing</b>	<b>Retain for Date</b>	<b>Method of Disposition</b>
		WHS Compliance of Contractor and Suppliers	Contract/ Project Manager		HPE Content Manager /Site file project, Conserve		13 years – GA 39 4.4.1	
		Incident Report Forms and or Incident Note- Injury (No Lost Time)	Chief Safety Officer		HPE Content Manager		30 years – GA 39 22.15.5	
		Hazard and Incident Note	Chief Safety Officer		HPE Content Manager		26 years – GA 39 22.15.5	
		SafeWork Notification	Chief Safety Officer		HPE Content Manager		26 years – GA 39 22.15.5	
		Incident Investigation Report	Chief Safety Officer		HPE Content Manager		26 years – GA 39 22.15.5	
		Workplace Inspections	WHS Committee nominated representative		HPE Content Manager		8 years – GA 36 22.15.8	
		Competency Assessments(SWMS, equipment assessment)	Supervisors/ Manager		HPE Content Manager		10 years – GA 36 22.15.8	
		WHS Policies	Chief Safety Officer		HPE Content Manager		6 years – GA 39 22.15.2	
		WHS Procedures	Chief Safety Officer		HPE Content Manager		6 years – GA 39 22.15.2	
		Inspection/Test & Monitoring Annual Plan	Supervisors/ Manager		HPE Content Manager		8 years – GA 39 22.15.8	

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<b>Internally / Externally Generated</b>	<b>Form or Template Document Number</b>	<b>Record Identification</b>	<b>Responsible Position</b>	<b>Confidential (Yes/No)</b>	<b>Storage Location</b>	<b>Method of Indexing</b>	<b>Retain for Date</b>	<b>Method of Disposition</b>
		ITM results	Allocated responsible officer		HPE Content Manager or Electrical Testing Register		10 years – GA 39 23.6.2	
		RTW Plans/Injury Management	RTW Officer		HPE Content Manager		26 years after case closed – GA 39 27.01.04 70 years after date of birth, depending on risk of case reopening – GA 39 27.01.04	
		Committee Minutes	WHS Committee nominated representative		Hard Copy HPE Content Manager		11 years – GA 39 4.9.7	
		Corporate WHS Documentation	Chief Safety Officer		WHS Team		10 years	
		Training (includes all courses & inductions)	Training & Development Co-ordinator		TRAAD		30 years as an RTO	
		Licences/Qualifications	Training & Development Co-ordinator		TRAAD/ HPE Content Manager		30 years	
		WHS Action Plans for Risk Assessments	Chief Safety Officer		HPE Content Manager		10 years – GA 36 22.5.8	

**APPENDIX 2 - WHS RECORDS REGISTER**

<b>Internally / Externally Generated</b>	<b>Form or Template Document Number</b>	<b>Record Identification</b>	<b>Responsible Position</b>	<b>Confidential (Yes/No)</b>	<b>Storage Location</b>	<b>Method of Indexing</b>	<b>Retain for Date</b>	<b>Method of Disposition</b>
		Risk Management documentation (risk assessments)	Coordinators & Supervisors		Hard Copy/ HPE Content Manager		3 years	
		Statistical data	Chief Safety Officer		HPE Content Manager		10 years - GA 39 22.15.8	
		Audit Records(Reports RAR's summary reports etc)	Chief Safety Officer		HPE Content Manager		8 years – GA 22.15.8	
		Design Record for new facilities, plant, equipment or hazardous processes	Project Officer		HPE Content Manager /Site project files		8 years – GA 22.15.8	
		Safety/Site Management Plans	Contract/ Project Manager		HPE Content Manager /Site project files		8 years – GA 22.15.8	
		Directorate WHS Documentation including SWMS, SWI, Forms	Nominated delegate		HPE Content Manager / Files/Record		10 years – GA 22.15.8	
		Website information Alerts/Advices/Newsletters	Chief Safety Officer		HPE Content Manager		10 years – GA 22.15.8	
		Hazardous Substance Notification	Chief Safety Officer		HPE Content Manager		5 years	