

WHSMP08: Document Control and Records Management Procedure

Section 1 - Purpose and Scope

(1) The purpose of this procedure is to ensure the management of the creation, review, access, and distribution of workplace health and safety (WHS) documents at Southern Cross University (SCU) are appropriately managed and controlled.

(2) The purpose of this procedure is to ensure Southern Cross University's management, employees, contractors, students, visitors and others are aware of the management of the creation, review, access, and distribution of workplace health and safety (WHS) documents in the workplace, management strategies and to provide advice on appropriate controls.

(3) This is to ensure that the documents are approved before use, stored consistently to allow ease of access and that only the most up-to-date documents are available, remain legible, and readily identifiable, traceable, and prevent the unintended use of obsolete documents.

(4) This document also encompasses the control, storage, protection, retrieval and disposal of records so that they can be accessed and retained as required for business operations, and to satisfy legal requirements.

(5) All employees, students and others including both independent contractors and contractors under SCU control are to be made aware of and follow this procedure.

(6) This Procedure applies to all SCU Work Units and sites. The procedure aligns with WHS legislation in the relevant jurisdictions SCU operates in.

Section 2 - Definitions

Document	A document is information in the form of a policy, procedure, guideline, form or other template that explains the steps for meeting a specific requirement or to record information that then becomes a completed record.
Records	A record is a document stating results achieved or providing evidence of activities performed. Records can be used to provide evidence of verification and corrective action.
SCU	Southern Cross University
Workplace	Any place where work is carried out for a business or undertaking and includes any place where a worker goes, or is likely to be, while at work.

Section 3 - General Principles

Document Creation, Review and Approval

Document Register

(7) Each document template will be recorded in WHSMP08 – FOR – 01 Document Control Register.

(8) The register will be used to record the following information:

- a. Document number.
- b. Document type.
- c. Document name.
- d. Function.
- e. Version number.
- f. Status.
- g. Development / review / approval.
- h. Date approved.

(9) The Work Unit is responsible for managing the maintenance of the document register for their area in the event a new document is created, amended, or archived.

Document Creation

(10) If a new WHSMS document is to be created:

- a. Seek the Director, Workplace Relations approval of new WHSMS documents before commencing development.
- b. Check the SCU document register first to ensure it does not already exist.
- c. Apply the appropriate document numbering in the footer of the document to be consistent with other WHSMS documents.
- d. The document owner of the new document is responsible for ensuring completeness, revision control, workability, and legal accuracy of the document.
- e. If the new document replaces an existing document, ensure the previous document is appropriately archived.

Document Numbering

(11) A document reference will include the following properties separated by a dash (-) without spaces.

- a. University
- b. Discipline
- c. Work Unit
- d. Document Type
- e. Number (sequential order)

Organisation Code	Discipline Code	Work Unit	Document Code	Examples
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SCU	Southern Cross University SCU	WHS	Workplace Health & Safety	FoH	Faculty of Health	POL	Policy	WHS Policy SCU-WHS-GRP-POL-1.0
						PRO	Procedure	Procedure SCU-WHS-GRP-PRO-1.0 Working at Heights
						GUI	Guideline	
						TEM	Template	Template SCU-WHS-GRP-TEM 1.0 Task Hazard Analysis
						FOR	Form	

Document Control, Change and Revision

Revision numbering

(12) Revision numbers for drafts and released documents will be noted within the document footers and will have the following format:

- a. Ver 0.1 – the document is in ‘draft’.
- b. Ver 1.0 – the document has been ‘approved’ for use.
- c. Ver 1.1 – the document is currently ‘under review’
- d. Ver 2.0 – the document has been ‘reissued’

Document Change

(13) Any employee may request changes to be made to the WHSMS. The requester shall first initiate a discussion with the WHS Manager on the proposed changes to be made. Once changes are agreed, the document owner shall proceed to revise the document and obtain necessary approvals.

(14) The revised document shall be identified with a new revision number and details of changes made shall be recorded in the SCU Document Register. The WHS Manager shall be responsible for updating the Policy and Procedure Library to the latest revised documents.

Document Control

(15) Only documents available on the Policy and Procedure Library are authorised and controlled. Any printed document is automatically uncontrolled. Archived and previous versions will be removed from the relevant online folder and placed into the archived documents folder until no longer required. Superseded documents shall be removed from the online system or properly identified and segregated to prevent unintended use.

Document Review

(16) The document review process shall be in accordance with the following table.

Document Type	Review Period
Policy	Annually
Overview manual	2 years
Procedures and Guidelines	2 years

Document Storage and Distribution

(17) All documents from the Document Register are to be stored electronically on the SCU Policy and Procedure

This document may be varied, withdrawn or replaced at any time. Printed copies, or part thereof, are regarded as uncontrolled and should not be relied upon as the current version. It is the responsibility of the individual reading this document to always refer to the Southern Cross University Policy Library for the latest version.

Library.

(18) Documents shall be accessible to all relevant internal parties through individual user system access.

(19) Internally documents can be circulated via:

- a. Notification via the Policy and Procedure Library.
- b. Email notification
- c. External distribution to other parties shall be at the written approval from the SCU WHS Manager.
- d. Documents of External Origin
- e. External documents which are necessary for planning and/or operation must be stored in the online system.
- f. The custodian shall monitor for updates and ensure that the latest version of the external origin documents is maintained on the online system in a suitable location, readily available for reference.
- g. The custodian shall communicate and circulate new and/or updated external documents and their online location to all relevant internal parties for their information.

Record Management

Identification Retention and Storage

(20) Records shall be legible, readily identifiable, and retrievable.

(21) All electronic safety records produced by SCU during operations are to be saved online and named according to the source document they originate from and include the date of development (format - YYYYMMDD). e.g. 20240218 Workplace Inspection - First Aid Equipment 20240315 Ride on Lawn-mower Competency Assessment - Bill Smith.

(22) The WHS Manager is responsible for developing RiskWare mapping of where records required to be kept are to be stored.

(23) Hard copy records required to be kept are to be stored and retained in such a way that they are readily retrievable, and in facilities that provide a suitable environment to prevent damage, deterioration, or loss.

(24) Records that have expired during the retention period are disposed of only by the WHS Manager or authorised delegates.

Electronic Storage and Security of Data

(25) Shared drives are backed up regularly and recoverable from offsite storage accordingly. For recovery contact Technology Services.

Archiving Storage and Disposal

(26) WHS Manager shall periodically undertake record archiving.

Retrieval of Archived Records

(27) Any current employee can request the retrieval of archived records. A valid reason for the retrieval of records shall be provided as part of the request.

(28) The requester shall request the retrieval of records in writing to the WHS Manager.

(29) Approval from the WHS Manager shall be sought and granted in writing before the release of records.

(30) Requests from previous employees or external parties shall be:

- a. requested via the WHS Manager,
- b. reviewed by SCU Legal where required, and
- c. approved by the Director, Workplace Relations before records being released.
- d. Where approved by the Director, Workplace Relations, and SCU Legal as appropriate, they will determine the method of release.

Disposal or archiving of records

(31) When the destruction date is due, the WHS Manager shall arrange the destruction of records, and where needed seek advice from the Director, Workplace Relations.

(32) The WHS Manager shall ensure the records are destroyed as authorised, and by a method that maintains the confidentiality of any sensitive records with a register maintained online of the destroyed records.

Archiving of WHS Records

(33) The below table outlines the archiving timeframes for WHS records.

Record Type	Retention Duration
WHSMS documents – policies, procedures, guidelines and associated documents	10 years from closure of workplace or removal or mobile plant from site.
Employee Records – where asbestos, lead exposure or other health surveillance is required.	Life of Company. No Limitation Note: Health records are to be kept confidential at all times.
Employee Records – where there have been injury claims or are potential claims	Life of Company. No Limitation Until the claim has been settled and finalised

Disposal of WHS Records

(34) Disposal of workplace health and safety-related records shall be carried out following the applicable legal and other requirements.

Section 4 - Roles and Responsibilities

(35) Refer to WHS Responsibilities and Accountability Statement

Section 5 - Records of Documentation

(36) All relevant documentation will be recorded and kept in accordance with WHS Legislation and other legislative obligations including:

- a. Consultation
- b. Training regarding this to procedure

Section 6 - Revision and approval history

(37) This procedure will be reviewed as per nominated review dates or because of other events, such as:

- a. Internal and external audit outcomes.

- b. Legislative changes.
- c. Outcomes from management reviews.
- d. Incidents.

Section 7 - References

Work Health and Safety Act 2011
Work Health and Safety Regulation in applicable jurisdiction that SCU operates

Section 8 - Related Documents

WHSMP08 - FOR - 01 - Document Control Register
WHS Responsibility and Accountability Statement

Status and Details

Status	Current
Effective Date	9th December 2024
Review Date	9th December 2027
Approval Authority	Vice President (People and Culture)
Approval Date	9th December 2024
Expiry Date	Not Applicable
Responsible Executive	Kim Franks Vice President (People and Culture)
Head of Work Unit	Brendan Pearce Director, Workplace Relations
Enquiries Contact	Shaun Brown Manager, Workplace Health and Safety