

Health and Safety Guidelines: HSG 9.1

Records, Documents and Document Control



1. Purpose

This document describes the University's processes for managing the Health and Safety Management System Framework policies, elements, guidelines and related documentation.

2. Scope

This document applies to the Executive Committee, Leaders, Supervisors, Health and Safety Committees, the Health and Safety Team, and Workers.

3. Definitions

In the context of the Health and Safety Management System Framework:

- (a) **Dangerous Occurrence** means an event occurring in the course of work that exposes a Worker or any other person to a serious risk to a person's health or safety emanating from an immediate or imminent exposure to:
- (i) an uncontrolled escape, spillage or leakage of a substance;
 - (ii) an uncontrolled implosion, explosion or fire;
 - (iii) an uncontrolled escape of gas or steam;
 - (iv) an uncontrolled escape of a pressurised substance;
 - (v) electric shock;
 - (vi) the fall or release from a height of any plant, substance or thing;
 - (vii) the collapse, overturning, failure or malfunction of, or damage to, any plant that is required to be authorised for use in accordance with Regulatory requirements;
 - (viii) the collapse or partial collapse of a structure; or
 - (ix) the collapse or failure of an excavation or of any shoring supporting an excavation.

- (b) **Executive Committee** means the Vice-Chancellor, the Deputy Vice-Chancellors, the Pro Vice-Chancellors, the Chief Operating Officer and the Chief Financial Officer.
- (c) **Hazard** means a situation, condition, state of affairs or event that exposes a Worker to a risk to his or her health or safety during the course of work.
- (d) **Hazardous Substance** means a substance that:
- (i) is included on the [GHS Hazardous Chemical Information List](#) published by the National Occupational Health and Safety Commission [NOHSC:10005(1994)], which can be found on the [Safe Work Australia website](#); or
 - (ii) has been classified as a hazardous substance by the manufacturer or importer in accordance with the [Approved Criteria for Classifying Hazard Substances](#) published by the National Occupational Health and Safety Commission [NOHSC:1008(1994)].
- (e) **Health and Safety Documentation** means the policies, elements, guidelines and related documentation which form the University's Health and Safety Management Framework.
- (f) **High Risk Plant means:**
- (i) boilers categorised as hazard level A, B or C according to criteria in section 2.1 of *AS:4343:2005 (Pressure equipment-Hazard levels)*;
 - (ii) pressure vessels categorised as hazard level A, B or C according to the criteria in section 2.1 of *AS:4343:2005 (Pressure equipment-Hazard levels)*, except LP Gas fuel vessels for automotive use, serially produced vessels, lifts, including escalators and moving walkways; and
 - (iii) gas cylinders.
- (g) **Incident** means an unplanned event that caused, or could have caused, an illness or injury to a Worker.
- (h) **Leader/Supervisor** means Any member of the University who is responsible for supervising staff and/or undergraduate or postgraduate students and/or for leading research projects.
- (i) **Notifiable Incident** means an Incident which is notifiable to SafeWork NSW and includes:

- (i) a Dangerous Occurrence; or
 - (ii) an incident that results in the death of a person; or
 - (iii) results in a Serious Injury or Illness,
- (j) **Record** means information and data relating to Workers, plant and equipment, facilities, processes and procedures relevant to health and safety (Refer to section 6.3 of this document):
- (k) **Regulatory requirements** means the legal obligations imposed upon the University, its officers and employees, and other Workers under:
- (i) the [Work Health and Safety Act 2011 \(NSW\)](#); and
 - (ii) the [Work Health and Safety Regulation 2011 \(NSW\)](#).
- (l) **Serious Injury or Illness** means an injury or illness requiring a Worker to have:
- (i) immediate treatment as an in-patient in a hospital;
 - (ii) immediate treatment for the amputation of any part of his or her body;
 - (iii) immediate treatment for a serious head injury;
 - (iv) immediate treatment for a serious eye injury;
 - (v) immediate treatment for a serious burn;
 - (vi) (immediate treatment for the separation of his or her skin from an underlying tissue (such as degloving or scalping);
 - (vii) immediate treatment for a spinal injury;
 - (viii) immediate treatment for the loss of a bodily function;
 - (ix) immediate treatment for serious lacerations; or
 - (x) Medical Treatment within 48 hours of exposure to a substance.
- (m) **Worker** includes an employee, conjoint, student on work experience, contractor, sub-contractor, and volunteer.

- (n) **Workplace Exposure Monitoring** means undertaking an assessment of the potential exposure to a Hazardous Substance or other hazard e.g. noise in the workplace, and includes sampling and analysis to determine the level of risk to Workers.

4. Responsibilities

4.1 Executive Committee

The Executive Committee should ensure that the University is complying with Regulatory requirements in relation to the maintenance of Records.

4.2 Leaders and Supervisors

Leaders and Supervisors should:

- (a) Maintain Records that they are required within their areas of responsibility; and
- (b) Review and provide feedback on changes to Health and Safety Documentation.

4.3 Health and Safety Team

The Health and Safety Team should:

- (a) Review the University Health and Safety Management System Framework and supporting documentation 3 yearly as a minimum, and more frequently where indicated, to ensure continuing compliance with Regulatory requirements and their suitability to University activities;
- (b) Identify and draft additional Health and Safety Documentation when the need arises as a result of a change in Regulatory requirements or in the University's operations;
- (c) Arrange for Workers to be consulted on revisions and new Health and Safety Documentation, via Health and Safety Committees;
- (d) Notify Leaders and Supervisors of changes to Health and Safety Documentation; and
- (e) Assist Leaders and Supervisors to identify Records that they are required to keep within their areas of responsibility to support health and safety activities.

5. Health and Safety Documentation management

5.1 General requirements

- (a) The Health and Safety Team will maintain the Health and Safety Documentation located on the Health and Safety Management System Framework intranet page. All documents are considered to be 'controlled'.
- (b) The Associate Director, Health and Safety will endorse and maintain all Health and Safety Documentation including all updates and changes.
- (c) Revisions to the Health and Safety Documentation will be processed in the same manner as originals and subjected to the same level of review and approval before issue:
 - (i) Policies require final approval by the Vice-Chancellor and/or Executive Committee;
 - (ii) Elements and Guidelines require approval by the Director, People & Workforce Strategy;
 - (iii) Key Risk Area documents require approval by the Associate Director, Health and Safety.
- (d) Health and Safety Documentation will be formatted in accordance with the templates which are controlled by the Associate Director, Health and Safety and administered by the Health and Safety Team.
- (e) Referenced documents will be attached or included as website hyperlinks.
- (f) Document versions will be tracked with the version number recorded in the footer as a whole number and the date of the versions e.g. v1-31.3.15.
- (g) All 'Controlled' copies of the Health and Safety Documentation will be maintained as current versions on the Health and Safety website. Once printed a document is to be considered 'UNCONTROLLED' and is not to be relied upon as source material.

5.2 Amendments

- (a) Review of Health and Safety Documentation and requests for amendments will be processed by a member of the Health and Safety Team.

- (b) Amendments to “Controlled” Health and Safety Documentation will only be made by the Associate Director, Health and Safety or by a member of the Health and Safety Team following approval by the Associate Director, Health and Safety.

5.3 Raising Document Change Requests (DCRs)

- (a) To request an amendment to Health and Safety Documentation, a Document Change Request (DCR) may be initiated by any UON employee, the Initiator, and provided to the Health and Safety Team.
- (b) Upon receipt of a DCR, the Health and Safety Team will:
 - (i) Review the DCR and may endorse the request;
 - (ii) If the request is endorsed, consider if requested amendments are likely to impact on training requirements;
 - (iii) Draft an updated version of the relevant Health and Safety Documentation;
 - (iv) Forward a draft copy of the revised version to the Initiator for review.
- (c) The Initiator will be requested to:
 - (i) Review the revised Health and Safety Documentation;
 - (ii) If acceptable, return the revised Health and Safety Documentation to the Health and Safety Team.
- (d) The Health and Safety Team will not release the revised Health and Safety Documentation until it is agreed with the Initiator.
- (e) The Health and Safety Team member dealing with the DCR will provide details of the DCR to the Associate Director, Health and Safety.
- (f) The Associate Director, Health and Safety may endorse the proposed changes to the Health and Safety Documentation.
- (g) If the DCR is not accepted, feedback will be provided to the Initiator.

5.4 Consultation

- (a) Revised and new Health and Safety Documentation will be submitted to Health and Safety Committees for consultation.
- (b) Following the consultation process the Health and Safety Team will finalise the draft Health and Safety Documentation.

5.5 Obtaining approval to make amendments

- (a) When the draft Health and Safety Documentation has been finalised, the Associate Director, Health and Safety will present the revised or new documents to the Director, People & Workforce Strategy for review and authorisation.
- (b) Health and Safety Documentation requiring final approval by the Vice-Chancellor and/or Executive Committee, will be sought following review by the Director, People & Workforce Strategy.

5.6 Implementation and communication

The Associate Director, Health and Safety will:

- (a) Remove the superseded Health and Safety Documentation from the Health and Safety website and post the revised Health and Safety Documentation;
- (b) Communicate the posting of the revised Health and Safety Documentation to Leaders, Supervisors and Health and Safety Committees.

5.7 Audits

- (a) Internal and external audits of the Health and Safety Management System Framework will include review of compliance with Health and Safety Documentation.
- (b) Any corrective actions arising from an audit will be implemented by the relevant area and monitored for closure by the Associate Director, Health and Safety and the Health and Team.

6. Records management

6.1 General requirements

Leaders and Supervisors have the responsibility to ensure appropriate Records are maintained by making reference to these Guidelines and Attachment 2 to determine:

- (a) what Records are required to be kept;
- (b) how Records should be kept;
- (c) the time period Records must be maintained; and
- (d) how Records can be accessed, subject to confidentiality obligations.

6.2 Maintenance of records

Processes for maintaining health and safety records should take into account:

- (a) **Responsibility:** who will be responsible for ensuring that the document is kept;
- (b) **Accessibility:** who will have access to the documents;
- (c) **Storage:** where documents will be stored and the level of access control;
- (d) **Disposal:** length of period the document will be kept before disposal. See Attachment 2 for a table of Regulatory Document Record Retention.

6.3 Examples of Records to be maintained

- (a) Employee qualifications, skills, knowledge, competency and certifications;
- (b) Induction and training;
- (c) Asbestos register;
- (d) Workplace exposure monitoring;
- (e) Emergency plans and procedures;
- (f) Plant and equipment inspection, test and maintenance;
- (g) Health and Safety inspections and audits;
- (h) Reviews of the Health and Safety Management system Framework;
- (i) Incident reports, investigations and analysis of the data;
- (j) Minutes of Health and Safety Committee meetings;
- (k) Health and Safety action plans;
- (l) Hazardous substances and dangerous goods inventories and chemical Safety Data Sheets (SDS);
- (m) Design reviews and approvals;
- (n) Risk management documentation e.g. Hazard Registers, risk assessments, Standard Operating Procedures (SOPs);

- (o) Contractor health and safety management and compliance with health and safety requirements e.g. pre-qualification questionnaires, induction, Safe Work Method Statement for the work, permits to work.

7. References

[UON Health and Safety Management System Framework](#)

8. Attachments

Attachment 1: Document Change Request Form

Attachment 2: Document Regulatory Record Retention Table

Attachment 1: Document Change Request Form

Document Change Request (DCR) Form – UON HSMSF Documents	
Name of Document:	
Description of Change requested:	
Reason for Change:	
Name of person requesting change:	
Area:	
Contact Telephone number:	
Date:	
Consultation (detail endorsement received from relevant personnel e.g. Area Leader).	

<p><u>Health and Safety Team:</u></p> <p>Name of person making change: _____ Date: Approval: _____</p> <p>Associate Director Health and Safety Y / N Date: Date Draft Version _____</p> <p>sent to initiator: _____</p> <p>Date Draft forwarded to Health and Safety Committee/s: _____</p> <p>Date forwarded to Director, PAWS,HRS for approval: _____ Date: _____</p> <p>Date Approved Version uploaded on 'the Source': _____ Date: _____</p>	
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Attachment 2: Document Regulatory Record Retention Table

DOCUMENT REGULATORY RECORD RETENTION TABLE					
RECORD	RESPONSIBILITY	ACCESSIBILITY	LOCATION	STORAGE	DISPOSAL
Medical records	Relevant Area Leader &/or HRS	Confidential / Employee	UON Health Service	restricted	Duration of Employment plus Thirty years
Audiometric Test Results	Relevant Area Leader &/or HRS	Confidential / Employee	Relevant Area & UON Health Service	restricted	Duration of Employment plus Thirty years
Noise Assessments	Relevant Area Leader &/or HRS	Employees & H&S Team	At Work Area	restricted	Duration of Employment plus Thirty years
Asbestos Assessments	Infrastructure and Facilities Services (IFS)	Employees & H&S Team	At Work Area	open	Thirty years
Plant Register & Registration Certificates.	Infrastructure and Facilities Services (IFS)	Employees & H&S Team	At Work Area	open	As long as the certificate is relevant
Plant Risk Assessments	Relevant Area Leader	Employees & H&S Team	At Work Area	open	Minimum of 5 years
Incident Records	Relevant Area Leader & H&S Team HRS	Injured person, Area Leader, H&S Committee.	At Work Area	restricted	Minimum of seven years
Notice of Incidents & Notices of Dangerous Occurrences	Relevant Area Leader & H&S Team HRS	Employees & H&S Team	At Work Area & H&S Team HRS	restricted	Minimum of seven years
Manual Handling Risk Assessments.	Relevant Area Manager	Employees & H&S Team	At Work Area	open	Minimum of 5 years
Hazard reports	Relevant Area Leader & H&S Team HRS	Employees & H&S Team	At Work Area & H&S Team HRS	open	Minimum of 5 years
Workplace safety inspection reports	Relevant Area Leader & H&S Team HRS	Employees & H&S Team	At Work Area	open	Minimum of 5 years
Other risk assessment reports	Relevant Area Leader	Employees & H&S Team	At Work Area	open	Minimum of 5 years

RECORD	RESPONSIBILITY	ACCESSIBILITY	LOCATION	STORAGE	DISPOSAL
Dangerous Goods Manifest	Infrastructure and Facilities Services (IFS) or relevant Area Leader	Employees & H&S Team, local Emergency Fire service	At Work Area	open	As long as information is current
Dangerous Goods Risk Assessment Documentation.	Relevant Area Leader	Employees & H&S Team	At Work Area	open	Minimum of 5 years
Dangerous Goods Licence	Infrastructure and Facilities Services (IFS) or relevant Area Leader	Employees & H&S Team, local Emergency Fire service	At Work Area	open	As long as licence is current
Dangerous Goods Emergency Plans	Infrastructure and Facilities Services (IFS) or relevant Area Leader	Employees & H&S Team, local Emergency Fire service	At Work Area	open	As long as information is current
Dangerous Goods Incident Reports.	Relevant Area Leader & H&S Team HRS	Employees & H&S Team	At Work Area	restricted	Minimum of 7 years
Emergency equipment and Fire protection equipment inspection and Maintenance Reports.	Infrastructure and Facilities Services (IFS) or relevant Area Leader	Employees & H&S Team	At Work Area	open	As long as equipment remains in service.
Hazardous substances Register	Relevant Area Leader	Employees & H&S Team	At Work Area	open	As long as information is current
Material Safety Data Sheets	Relevant Area Leader	Employees & H&S Team	At Work Area	open	As long as information is current
Dangerous Goods CFA/ MFB Recommendation Reports	Relevant Area Leader	Employees & H&S Team	At Work Area	restricted	As long as information is current
Notices and Written Directives from inspectors	Relevant Area Leader & H&S Team HRS	Employees & H&S Team	At Work Area	restricted	Minimum of 7 years
Workers Compensation Records	H&S Team HRS	Confidential / Employee	H&S Team HRS	restricted	To be maintained in perpetuity
Rehabilitation case notes	H&S Team HRS	Confidential / Employee	H&S Team HRS	restricted	To be maintained in perpetuity
Workplace Environmental reports	Relevant Area Leader	Employees & H&S Team	At Work Area	open	Thirty years
H&S Committee minutes	Relevant Area Leader & H&S Team HRS	Employees & H&S Team	At Work Area	open	Minimum of 5 years
Training Register	Relevant Area Leader	Employees & H&S Team	At Work Area	restricted	Duration of Employment plus Five years
Training Matrix (Inc. employee licences & certificates)	Relevant Area Leader	Employees & H&S Team	At Work Area	restricted	Duration of Employment plus five years