

**5.3.1 DOCUMENT CONTROL (local)
FACULTY/DIVISION/SCHOOL/BRANCH**

Purpose

The purpose of this information is to clarify how document control should be applied to locally produced Health Safety and Wellbeing (HSW) documentation (i.e. processes, templates, operations manuals).

This will assist in ensuring:

- that documents are available to internal and external users in its most current form; and
- consistency in the generation and management of local HSW documentation.

Q1 Why do Faculties/Divisions/Schools/Branches need to have local document control?

Under the WorkCover Self-Insurance Standards, the University must ensure it has in place a system to enable:

- the identification and currency of essential documents; and
- our workers to access and use the current version of an essential document.

Q2 How does the University meet the requirement for document control?

All the current and essential University HSW documents are located on the [HSW Website](#) and within the [HSW Handbook](#). The footer on the bottom of each document identifies the currency of the document and a warning that if printed, the document is uncontrolled. (Please note, the HSW Handbook document control should not be removed or altered from mandated templates. HSW Handbook documents are part of the University Policy Framework and the review process is managed through this framework.)

Q3 What local HSW Faculty/Division/School/Branch documents require document control?

- Where a Faculty/Division/School/Branch has created a template which meets the requirements of the Faculty/Division/School/Branch and the criteria/format specified in the HSW Handbook chapter. Examples include:
 - Training Needs Analysis (TNA) template
 - Schedule of programmable events (SPE) template
 - Risk Assessment template
- Where the Faculty/Division/School/Branch has created a local HSW process, form tool, template which is not included in the HSW Handbook, but assists workers to meet legislative requirements.
- Where the Faculty/Division/School/Branch has created a HSW operations manual.

Q4 What does local document control look like?

Document control is captured in the Faculty/Division/School/Branch template, process, operations manual and should clearly identify the following:

- Document title - This is the title of the template, process, operations manual
- Authorised by – Position of the person who authorised it
- Effective date – e.g. xx/xx/xxxx or x June xxxx. This is the date the document came into effect. For new documents or major reviews this will be the date when it is authorised. For a minor review it will be the date the minor changes came into effect.
- Review Date – i.e. Date the template, process, operations manual is due for the next major review.
- Version number e.g. V1.0
- Pages e.g. page 1 of 4

For example, the footer of this information sheet.

(Continued)

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Q4 What does local document control look like? Continued

Other options could also include

- Author/reviewer of the template, process, operations manual that shows who last altered the document
- Where to access the current template, process, operations manual e.g. a File pathway S:\.....\.....
- Link to the relevant Faculty/ Division/School/Branch website
- Print disclaimer - a line may be added to the footer indicating that the document is “Uncontrolled if printed”.

For example

Document title	Training Needs Analysis template	Effective Date:	15 May 2015	Version 1.0
Authorised by	Head of School, <insert name of School>	Review Date:	15 May 2018	Page 2 of 6
Author/Reviewer	John Smith (Health and Safety Officer)			
Optional	This process is uncontrolled when printed. The current version of this document is available on the School/Branch Website <insert link> .			
Optional	Pathway S:\.....\.....\			

Q5	Who can authorise an essential HSW document?	Consultation	
	Vice-Chancellor and President	<ul style="list-style-type: none"> • All new HSW Handbook chapters and associated forms and templates 	Under Uni Policy Dev framework
	Chief Operating Officer and Vice-President (Services & Resources)	<ul style="list-style-type: none"> • All revised HSW Handbook chapters and associated forms and templates 	Under Uni Policy Dev framework
	Executive Deans, Deputy Vice-Chancellor and Presidents, Vice-President (Services & Resources)	<ul style="list-style-type: none"> • Division/Faculty HSW <u>processes, forms, templates, operation manuals</u> 	Div/Fac HSW Committee (or equivalent)
	Heads of School/Branch	<ul style="list-style-type: none"> • School/Branch: <ul style="list-style-type: none"> • Training Needs Analysis template • Schedule of Programmable Events template • Risk Assessment template (e.g. Task Risk Assessment, Plant Risk Assessment) • Other forms, checklists and processes created by the School/Branch to assist manage specific activities/hazards and that aren't available in the HSW Handbook. • HSW operations manuals 	School/Branch HSW Committee or equivalent consultative forum
	Associate Director, HR Compliance and Improvement Services	<ul style="list-style-type: none"> • All FAQs/information sheets within the HSW Handbook • University forms, tools and templates on the HSW Website used by Health and Safety Committees, (e.g. UHSC) Consolidated Report, Traffic Light Reporting Template and Guidelines. 	- HSW Team; - UHSC, HSO's/ Co-ords and HSR's and other staff effected by the change (where applic)
	Managers/Supervisors	<ul style="list-style-type: none"> • Local area HSW operations manuals 	Staff effected by the change
	Other staff e.g. Health and Safety Committee Secretaries, Health and Safety Officers	<ul style="list-style-type: none"> • All School/Branch templates, processes which are considered essential or are required under the WHS Legislation which have not been provided in the HSW Handbook or HSW Website. For example: <ul style="list-style-type: none"> • Health and Safety Committee Agendas and minute templates/formats • Contingency testing debrief templates • HSW Poster templates displaying the names of key HSW personnel and their back-up/Deputy. 	School/Branch HSW Committee or equivalent consultative forum or staff effected by the change

If unsure, please contact any member of the [HSW Team](#).

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Q6 Can a document, form, tool or template which has been endorsed by the Vice-Chancellor and President or the Chief Operating Officer and Vice-President (Services and Resources) in the HSW Handbook be amended by a Faculty/Division/School/Branch?

No.

Unless specified within the chapter that it can be amended and the criteria outlined can be demonstrated. These forms/templates are designed to be “saved as” and completed by the user. The currency/date completed is to be identified on the top of the form if required and the footer remains unchanged. Examples include the Hazard Register, Safe Operating Procedure, Plant Tag out register. These documents are available within the relevant HSW Handbook chapter.

Q7 Can a Faculty/Division/School/Branch document be amended by a Faculty/ Division School/Branch?

Yes.

But only if it is approved through the standard pathway for document, development, authorisation and review as outlined in Questions 5 and 11.

Q8 When a Faculty/Division/School/Branch template has been authorised, does the footer change each time it is used?

No.

Once authorised the footer remains the same. The currency of the information within the essential document can be identified by the date at the top e.g. for a Training Needs Analysis

For example Human Resources, Training Needs Analysis
as at xx/xx/xxxx

The Faculty/Division /School/Branch template must be in a format to enable the worker to identify the template and record:

- The title of the activity or template – preferably at the very top of the template
- The name(s) of the person completing the template or participating in the activity and their position (where applicable)
- Date of completion or effective date and the review date (where applicable)
- A signature e.g. if authorisation is required.

Q9 What if a School/Branch requires specific Risk Assessments and the associated control measures e.g. Safe Work Procedure, to be available to all staff conducting the same activities? Do they require document control as they are considered “essential” by the School/Branch?

Where the School/Branch requires workers to understand the risks associated with a particular activity/item of plant and complete the activity/operation in a particular way each time, then these documents must also be accessible and available in the most current authorised version, for workers to follow.

However, as per Q8 above, the footer of the document does not record the name of the activity/item of plant, but retains the template name, authorisation and version details. The template is used over and over again.

The workers can identify the activity/item of plant/equipment from the description at the top of the document/form/template.

System for accessing key local documents/procedures

In order for workers to be able to access the most current version of these essential “completed” templates/documents the School/Branch documents must have either:

- a Risk Register with either hard copies or electronic hyperlinks to the most current version of the Risk Assessment/Safe Operating Procedure/document; or
- a system to ensure that assessments and procedures are displayed/accessible in the area of work e.g. an SOP could be mounted adjacent to the item of equipment.

This register or system is then explained and used for induction/training purposes and ongoing reference.

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Q10 What is version control?

- Version control enables identification of the most current version of a process, template, operations manual and to track the history of changes.
- A process, template, operations manual starts off in DRAFT and is developed through the various local consultative forums and/or committees. Drafts may use version control such as “DRAFT V1.0” etc during the drafting process to help track the most current version.
- The final version of the document is then authorised by the relevant authority. At this point an “Effective date” and Version 1.0 are recorded to represent the first version and when this version of the document has been authorised for use.
- A review date is also recorded. This represents when the next review is due. This date is 3 years or less from the effective date. This ensures that documents are checked regularly for suitability and compliance with the University’s HSW Handbook (Note – HSW will also inform areas at the time that a chapter is revised) and/or other relevant requirements.

Example of version control for a new template

Document title	Training Needs Analysis Template	Effective Date:	15 May 2015	Version 1.0
Authorised by	Head of School, <insert name of School>	Review Date:	15 May 2018	Page 4 of 6
Author/Reviewer	John Smith (Health and Safety Officer)			
Optional	This process is uncontrolled when printed. The current version of this document is available on the School/Branch Website <insert link> .			
Optional	Pathway S:\.....\			

Major revision

A process, template, operations manual is given the next consecutive number e.g. V1.0, V2.0, V3.0 etc

- When the 3 year review is completed; or
- When significant changes have been made to the document.

Both the effective date and review date are changed if the entire template, process, operations manual is reviewed.

If the document is only partially but significantly amended, then the effective date will change but the review date will remain the same. See example below.

Example

Document title	Training Needs Analysis Template	Effective Date:	1 August 2015	Version 2.0
Authorised by	Head of School, <insert name of School>	Review Date:	1 August 2018	Page 4 of 6
Author/Reviewer	John Smith (Health and Safety Officer)			
Optional	This process is uncontrolled when printed. The current version of this document is available on the School/Branch Website <insert link> .			
Optional	Pathway S:\.....\			

Minor revision

A template, process, operations manual is given the next decimal point when only minor changes are made e.g. spelling, formatting, contact number, logo. The effective date is changed to reflect when this version was put in place however the review date remains unchanged.

Example

Document title	Training Needs Analysis Template	Effective Date:	1 December 2015	Version 2.1
Authorised by	Head of School, <insert name of School>	Review Date:	1 August 2018	Page 4 of 6
Author/Reviewer	John Smith (Health and Safety Officer)			
Optional	This process is uncontrolled when printed. The current version of this document is available on the School/Branch Website <insert link> .			
Optional	Pathway S:\.....\			

Q11 What is the standard pathway for document development, authorisation and review?

Authorisation & Endorsement:

Authorisation: If an item requires Document Control, then it must be authorised by the appropriate person as outlined in Q5. This authorisation may be in the form of a signed document, e-mail approval, electronic signature, or other form of retrievable verification.

Endorsement: HSW committees as consultative forums should be involved in the formulation and review of relevant local HSW documents (e.g. Faculty/Division/School/Branch wide templates/processes), and would normally provide their endorsement through to the relevant Head of Faculty/ Division/School/Branch for authorisation. Evidence of the committee’s endorsement would normally be evidenced in the minutes of the relevant committee.

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Q11 What is the standard pathway for document development, authorisation and review? Continued

Review period

The review period is either specified by the associated HSW Handbook chapter or a time frame deemed appropriate by the Division/Faculty/School/Branch. A maximum review period of 3 years or less will ensure that the templates align with those authorised by the University.

Evidence of review and next steps

- Major review
 - There must be evidence of the template/process/operations manual review when a version number is changed i.e. from V1.0 to V2.0. (See Q10).
 - This review should be conducted in consultation with those directly effected by the change and/or at the Faculty/Division/School/Branch HSW Committee (as applicable).
 - Once the review has been completed, the authorisation of template/process/operations manual is to be arranged. Authorisation is required even if a template/process/operations manual is fully reviewed and there are no changes i.e. at the 3 yrly review.
 - The old version is to be removed, archived and replaced with the current version.
 - Workers effected by the change are to be advised using the agreed Faculty/Division/School/Branch dissemination method.
- Minor review
 Minor changes (e.g. version decimal point changes) do not need to be consulted, authorised or tabled at the School/Branch HSW Committee (or relevant forum). This can be managed by the HSO or relevant person. Once the revision is completed, the old version is to be removed, archived and replaced with the current version.

The current version of the document is then made available to staff either electronically or in hard copy. The change to a new version following a major or minor review can be evidenced via the archiving system.

Archiving system

An effective archiving system for all essential templates/processes/operations manuals is maintained to provide access if required to all previous versions.

Options for archiving include:

- HP Records Manager. The University's records management system.
- The local shared drive. This should be managed by a nominated staff member (e.g. Health and Safety Officer). Local documents (templates/processes/operations manuals) would be saved in folders with appropriate file names for example V1.0 TNA Template (15 May 2015); V1.1 TNA Template (1 December 2015); V2.0 TNA Template (1 August 2015) etc.

Document history

A document history table within the document itself may also be used to assist track when versions are updated. This table could include the version, date authorised, description of amendment (s) and provision for authorisation/signature by the relevant authority. This option could be adopted for templates/process/operations manual which do not go through the School/Branch/Division/Faculty HSW Committee.

Q12 Where does the School/Branch identify and store the authorised documents (i.e. templates, processes, operations manuals)?

The School/Branch is required to create a Document Control Register.

A Document Control Register tracks the document title (preferably a hyperlink to the document), effective and review dates and current version. As a minimum the register will include the TNA and SPE templates.

This register may be saved on the local School/Branch drive or available on the School/Branch website.

This enables simple and effective access, review and management of local safety documents and formats that have been authorised for use. Documents authorised at a Faculty/Division level will also be included on the Document Control Register.

Who maintains the Document Control Register?

This task may be delegated to any staff member, but the School/Branch Health and Safety Officer is generally tasked with maintaining this register.

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Q12 Where does the School/Branch identify and store the authorised documents (Continued)

Example of a Document Control Register

Name of School/Branch _____

Name of Document	Effective Date	Review Date	Version No.
Risk Assessment Template <insert hyperlink to document>	01/06/15	01/06/18	V2.0
Schedule of Programmable Events Template <insert hyperlink to document>	01/09/15	01/06/18	V2.1
Training Needs Analysis Template <insert hyperlink to document>	16/12/12	16/12/15	V1.0
HSW Operations Manual <insert hyperlink to document>	10/10/15	11/12/18	V2.4
Duress alarm – Operation, training and testing <insert hyperlink to document>	15/11/15	15/11/18	V1.0
Etc, etc			

From the register, the School/Branch can quickly identify that the **Training Needs Analysis template** is due for review before 16/12/15. This should be added to the next School/Branch (or equivalent) safe committee agenda as applicable.

The template may also include other information e.g. name of the author/custodian.

To prompt a check of which processes, templates, operations manuals are due for review, it is suggested that this be included on the School/Branch Schedule of Programmable Events.

Further Information

If you require further information, please contact a member of the [HSW Team](#)