

DOCUMENT CONTROL (local) FACULTY/DIVISION/SCHOOL/BRANCH/AREA

Purpose

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

(Note – For guidance on version and document control for essential University HSW documents, refer to Document Control (University) available on the HSW [Handbook website](#) under HSW systems management.)

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

Under the [Return to Work SA Self-Insurance Health and Safety Standards](#) (Element 3.12), the University must ensure and be able to demonstrate, that it has in place a system to enable:

- the identification and currency of essential documents;
- our workers to access and use the current version of an essential document; and
- consistency in the generation, authorisation, review and management of local HSW documentation.

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

All the current and essential University controlled HSW documents are located on the [HSW Website](#) and/or 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 specified criteria/format in the HSW Handbook chapter (e.g. an equivalent template in hard copy or electronic format).
Examples include:
 - [Schedule of programmable events](#) (SPE) template
 - [Risk Assessment](#) templates
 - [Safe Operating Procedure](#) 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.

Note: If the forms/templates authorised in the HSW Handbook chapters are always used, then additional document control measures by the Faculty/Division/School/Branch/local area are not required.

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 below.

(Continued)

| | | | | |
|---------------|--|-----------------|------------------|-------------|
| HSW | Document Control – Faculty/Division/School/Branch | Effective Date: | 14 December 2020 | Version 3.0 |
| Authorised by | Director, HSW | Review Date: | As required | Page 1 of 4 |
| Warning | This process is uncontrolled when printed. The current version of this document is available on the HSW Website. | | | |

| Q5 | Who can authorise/approve an essential HSW document? | | Consultation |
|-------|--|--|--|
| Uni | Vice-Chancellor and President | <ul style="list-style-type: none"> HSW Policy under the University Policy framework | As per the Uni Policy Development framework |
| Uni | Chief Operating Officer and Vice-President (University Operations) | <ul style="list-style-type: none"> All new/revised HSW Handbook chapters and associated forms and templates | As per Uni Policy Development framework |
| Uni | Director, HSW | <ul style="list-style-type: none"> All FAQs/information sheets within the HSW Handbook University forms, tools and templates on the HSW Website | HSW Team |
| Local | Executive Deans, Deputy Vice-Chancellor and Presidents, COO (University Operations) | <ul style="list-style-type: none"> Division/Faculty HSW <u>processes, forms, templates, operation manuals</u> | Div/Fac stakeholders (including HSR where relevant. May include the HSW Committee) |
| Local | HSW Hub - Faculty Technical Services Manager or equivalent (e.g. Research Technical Services Manager, Faculty HR Manager, or Faculty Executive Manager), or Head of Branch (or delegate) | Division/Faculty/School/Branch/area (examples only): <ul style="list-style-type: none"> Forms, checklists and processes created to assist manage specific activities/hazards and that aren't available in the HSW Handbook. HSW operations manuals (Noting the templates can be expanded to whole of Faculty/Division where appropriate.) | School/Branch stakeholders (including HSR where relevant. May include the HSW Committee) |
| Local | Managers/ Supervisors/Person in control of the area/activity | <ul style="list-style-type: none"> Local area HSW operations manuals Risk Assessment template (provided the template meets the requirements of the Hazard Management chapter.) (e.g. Task Risk Assessment) Safe Operating Procedure template (provided the template meets the requirements of the Hazard Management chapter.) | Local area stakeholders (Including HSR where relevant) |
| Local | Other staff e.g. Health and Safety Committee Secretaries, Health and Safety Hubs/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. | Fac/Div/School/Branch HSW Committee or equivalent consultative forum or staff effected by the change |

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

Q6 Can a document, form, tool or template which has been authorised/approved by the Vice-Chancellor and President or the Chief Operating Officer and Vice-President (University Operations) in the [HSW Handbook](#) as part of the University's Policy framework, 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.

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|---------------|--|-----------------|------------------|-------------|
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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 10.

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 plan

For example Human Resources, Training Plan (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/area must have a system in place. e.g. intranet, a hard copy in a lab folder or an SOP displayed adjacent to an item of equipment.

This system is to be explained and used for induction/instruction purposes and be available for ongoing reference.

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.

Example of version control for a new template

| | | | | |
|----------------|--|-----------------|-------------|-------------|
| Document title | Safe Operating Procedure Template | Effective Date: | 15 May 2020 | Version 1.0 |
| Authorised by | Head of School, <insert name of School> | Review Date: | As required | Page 3 of 4 |
| 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 archiving is required for essential HSW documents?

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

Options for archiving include:

- HPE Content 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 Hub/Officer). Local documents (templates/processes/operations manuals) would be saved in folders with appropriate file names.
- Document control history (register) – see example below

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)

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Q11 What archiving is required for essential HSW documents? Continued

Document Control Register for essential HSW documents/templates (Note this is an example only and optional)

Name of School/Branch/Faculty/area (as applicable) _____

| Name of Document | Effective Date | Review Date | Version No. |
|---|----------------|-------------|-------------|
| Risk Assessment Template <insert hyperlink to document> | 01/06/20 | 01/06/23 | V2.0 |
| HSW Operations Manual <insert hyperlink to document> | 10/10/17 | 10/10/20 | V3.0 |
| Duress alarm – Operation, training and testing <insert hyperlink> | 15/11/20 | 15/11/23 | V1.0 |
| Etc, etc | | | |

From the register, the School/Branch/area can quickly identify that the HSW Operational Manual is due for review on 10/10/20. 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](#)