



Mining & Quarrying
OCCUPATIONAL HEALTH &
SAFETY COMMITTEE

Document and Records Management Guide

Promoting Work Health and Safety in the Workplace

The South Australian Mining and Quarrying Occupational Health and Safety Committee

Promoting Work Health and Safety in the Workplace

This workplace industry safety resource is developed and fully funded by the Mining and Quarrying Occupational Health and Safety Committee (MAQOHSC).

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Contents

AIM.....	2
Forward.....	2
1. Responsibilities.....	3
1.1. Management.....	3
1.2. Supervisors.....	3
1.3. Workers.....	3
2. Document Control.....	3
3. Records Management	4
4. Storage of Documents and Records.....	5
FURTHER ASSISTANCE.....	6
ADDITIONAL INFORMATION.....	6
REFERENCES.....	6

Document and Records Management Guide

AIM

The aim of this Guidance Material is to provide Persons Conducting a Business or Undertaking (PCBUs) with practical guidance on Document and Records Management.

Forward

Documents and records form a key part of any Safety Management System.

Document and Records Control is a process of ensuring that documents and records are created, captured, accessed, managed and stored in a methodical, organised and controlled manner.

Because work health and safety documents, such as policies, procedures and plans, communicate important safety information for your site, it is imperative that the information being communicated is current and accurate.

1. Responsibilities

1.1. Management

Management is responsible for ensuring:

- A document and records management system is developed and implemented;
- Appropriate resources are provided for the management of documents and records; and
- Information, training and instruction is provided on the document and records management system.

1.2. Supervisors

Supervisors are responsible for ensuring:

- Current documents are available and accessible to workers; and
- Workers have been provided with training and instruction on document and records management.

1.3. Workers

Workers are responsible for:

- Adhering to the document and records management process; and
- Participating in the review of documents and records as required.

2. Document Control

The range and detail of policies, procedures and plans that form part of your Safety Management System will depend upon the nature, location and risks associated with your operation.

The document control process should ensure:

- Documents are marked with
 - a version;
 - a date;
 - the relevant area / department (e.g. workshop, quarry, administration, etc.); and
 - title.
- Documents are regularly reviewed and updated;
- Clear timeframes for reviewing documents are detailed (e.g. policies are to be reviewed every 2 years);
- All documents are approved by an authorised person;
- Records of all reviews and updates are maintained;
- Only current documents are available at all locations of access;

- Outdated / obsolete documents are promptly removed from all locations of access;
- Workers are provided with information and training related to the document control process; and
- Documents are maintained as required for legislative requirements.

Your document control process should also stipulate the templates / styles that are to be used for documents, for example:

- The style and format for policies; and
- The style and format for procedures.

Note: *All documents should be easily accessible to all that are required to use them and be set out in such a way that they are easily read and understood by all that are required to use them.*

3. Records Management

There are various legislative and operational requirements regarding the management of records, these may include, but are not limited to:

- Work Health and Safety Management Plans;
- Contractor Safety Management Plans;
- Training and qualification records;
- Health monitoring and assessments;
- Human Resource records;
- Meeting minutes, (e.g. Management team meetings, health and safety committee meetings, pre-start information meetings);
- Hazard identification and risk assessments;
- Details of incidents, investigation findings and corrective actions;
- Details of workplace inspections;
- Regulatory inspections;
- Maintenance records;
- Hazardous chemicals;
- Registered plant records;
- Audits, internal and external;
- Supplier information; and
- Product information.

The document and records management system needs to clearly define the minimum length of time such records shall be required to be maintained.

Note: *The MAQOHSC Document and Records Management Procedure Template provides further advice and guidance on the minimum times records are required to be maintained.*

4. Storage of Documents and Records

Appropriate storage facilities for documents and records shall need to be provided. Storage facilities may incorporate a mixture of hard copies (e.g. in files within filing cabinets) or electronically (computer based filing systems).

Consideration needs to be given to the sensitivity of the documents and records when deciding upon the appropriate storage facilities for your documents and records. Personal details, such as workers names, date of birth, addresses, bank details shall be required to be maintained in secured locations. Additionally there may be sensitive operation information that will be required to be maintained in secure locations.

Records such as training and qualifications and hazard identification and risk assessment records will need to be more accessible to those that require them.

Consideration shall also need to be given as to how long term archive records shall be maintained.

FURTHER ASSISTANCE

MAQOHSC Work Health and Safety Specialists are available to provide further advice and assistance on all Work Health and Safety matters.

MAQOHSC Work Health and Safety Specialists are able to be contacted via our website at www.maqohsc.sa.gov.au or email maqohsc@sa.gov.au.

ADDITIONAL INFORMATION

Work Health and Safety Legislation, Codes of Practice, fact sheets, Health and Safety Representatives (HSR) information and guides can be found at the following websites:

SafeWork SA – www.safework.sa.gov.au or call 1300 365 255

Safe Work Australia – www.safeworkaustralia.gov.au or call 1300 551 832

REFERENCES

Work Health and Safety Regulations 2012 (SA)

MAQOHSC Document and Records Management Procedure Template

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