

Document Control Procedure

SAMPLE

Table of Contents

Purpose	4
Scope	4
Definitions.....	5
Key Terms	5
Roles and Responsibilities.....	5
Officers (e.g. Directors, Senior Executives).....	5
Managers and Supervisors.....	5
WHS Manager/Advisor.....	6
Document Owners	6
Workers.....	6
Document Classification	6
Types of WHS Documents	6
Determining Control Requirements	7
Document Development and Approval.....	7
Initiating New Documents.....	7
Drafting Documents	7
Document Numbering and Version Control	8
Review and Approval Process.....	8
Document Identification and Format	8
Standard Templates	8
Document Header and Footer Requirements	9
Master Document Register	9
Purpose of the Register.....	9
Minimum Fields in the Register	9
Document Distribution and Access	9
Controlled Electronic Copies	9
Printed Copies at Point of Use	10
Access Control.....	10
Use of Documents	10
Worker Responsibilities	10

Supervisory Oversight	10
Document Review and Revision	11
Review Triggers	11
Review Process	11
Managing Obsolete Documents	11
Control of Records.....	11
Creation and Capture of Records.....	11
Record Retention and Archiving	12
Disposal of Records	12
Change Management and Communication.....	12
Managing Changes to Documents	12
Communicating Changes	12
Training and Awareness.....	13
Training Requirements	13
Induction	13
Monitoring, Audit and Review	13
Ongoing Monitoring.....	13
Internal Audits	13
Procedure Review.....	14
Non-conformance and Corrective Action.....	14
Identifying Non-conformances.....	14
Corrective and Preventive Actions.....	14
Checklists and Tools	15
Document Control Implementation Checklist.....	15
WHS Record Retention Planning Checklist.....	15
Related Documents and References	15

Purpose

The purpose of this Document Control Procedure is to ensure that all work health and safety (WHS) documents used by [Company Name] are:

- Developed, reviewed and approved in a systematic and controlled manner.
- Current, accurate and readily accessible to workers and other relevant persons.
- Protected from unintended alteration, loss or unauthorised use.
- Retained, archived and disposed of in accordance with legal, regulatory and business requirements.

This procedure supports [Company Name]'s WHS management system and assists in meeting obligations under relevant WHS legislation, regulations, codes of practice and Australian Standards.

Scope

This procedure applies to all WHS-related documents and records created, received or maintained by [Company Name], regardless of format (paper or electronic) or location.

This includes, but is not limited to:

- WHS policies, procedures, plans and guidelines.
- Risk assessments, Safe Work Method Statements (SWMS) and Job Safety Analyses (JSA).
- Emergency management plans and response procedures.
- Incident, injury, hazard and near miss reports.
- Training materials, inductions and competency records.
- Plant and equipment manuals, inspection reports and maintenance records.
- Chemical registers, Safety Data Sheets (SDS) and hazardous chemicals management documents.
- Health monitoring records (subject to privacy and confidentiality requirements).
- Internal WHS audit reports, inspection checklists and consultation records.

This procedure applies to all workers of [Company Name], including employees, contractors, labour hire workers, volunteers and others who create, use or manage WHS documentation on behalf of [Company Name].

Definitions

Key Terms

- **Document:** Any written, printed or electronic information that forms part of the WHS management system, including policies, procedures, forms, templates, manuals and plans.
- **Record:** Evidence of activities performed or results achieved (e.g. completed forms, reports, checklists, training attendance sheets, inspection results). Records are a type of document but are generally not revised, only retained and archived.
- **Controlled document:** A document that is subject to formal document control processes, including version control, approval, distribution and periodic review.
- **Uncontrolled document:** A copy of a controlled document that is not automatically updated (e.g. a printed copy). It may become outdated and must not be relied upon as the primary source of current information.
- **Document Owner:** The individual responsible for the content, accuracy, review and ongoing availability of a specific document.
- **WHS Manager/Advisor:** The person responsible for coordinating the WHS management system, including oversight of document control processes.
- **Master Register:** The central index of all controlled WHS documents, including their status, version and location.

Roles and Responsibilities

Officers (e.g. Directors, Senior Executives)

Officers of [Company Name] must exercise due diligence to ensure that appropriate WHS documentation is in place and effectively controlled. This includes:

- Ensuring adequate resources are provided to implement and maintain document control processes.
- Reviewing WHS performance reports that include information about documentation currency and compliance.
- Supporting the implementation of this procedure across all business units.

Managers and Supervisors

Managers and supervisors are responsible for:

- Ensuring relevant controlled documents are available, accessible and understood by workers under their control.
- Confirming that only current versions of WHS documents are used in their areas.
- Identifying the need for new or revised documents based on operational changes, incidents, audits or worker feedback.

- Ensuring obsolete documents are promptly removed from points of use.

WHS Manager/Advisor

The WHS Manager/Advisor (or equivalent role) is responsible for coordinating and maintaining the document control system, including:

- Developing and maintaining this Document Control Procedure.
- Maintaining the WHS Master Document Register.
- Allocating document numbers and version identifiers.
- Coordinating the review and approval of WHS documents.
- Ensuring controlled documents are accessible to relevant stakeholders.
- Providing guidance and training on document control requirements.

Document Owners

Document Owners are nominated subject matter experts or managers responsible for individual controlled documents. They must:

- Draft, review and update document content to ensure accuracy and relevance.
- Consult with affected workers and stakeholders during development and review.
- Initiate periodic reviews and updates as required.

Recommend approval of documents and respond to feedback or non-conformances relating to their documents.

Workers

All workers must:

- Use only current, authorised WHS documents in carrying out their work.
- Follow the requirements set out in WHS policies, procedures and instructions.
- Report any errors, gaps, inconsistencies or difficulties in accessing WHS documents.
- Avoid creating unofficial or unauthorised versions of WHS documents.

Document Classification

Types of WHS Documents

WHS documents at [Company Name] are classified into the following categories for control purposes:

- **Tier 1 – Policy Documents:** WHS Policy, overarching WHS commitments and statements of intent.
- **Tier 2 – Procedures and Standards:** WHS procedures, standards and system-level instructions.