



UNIVERSITY
OF WOLLONGONG
AUSTRALIA

UOW WHS Unit

WHS RECORDS HANDLING GUIDELINES

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1 Purpose

These guidelines outline the University's program for the information and data keeping requirements for records produced by the University's WHS Management System.

This includes the processes for the identification, collection, indexing, filing, maintenance, storage and disposal of WHS records produced by the University's WHSMS. Such records provide evidence of implementation of the University WHS management system as well as being a legislative requirement.

2 Scope

This guideline applies to all records created as part of the University's WHSMS and should be read in conjunction with the [UOW Records Management Policy](#) and associated documents.

3 Definitions

<i>WHSMS Documentation</i>	Plans, policies, procedures, guidelines, forms and any other document which forms part of the WHSMS. These documents are designed and created by the WHS Unit.
<i>Local Documentation</i>	Local WHS documents are those which are created by a faculty or division to meet the local area needs e.g. Library Building Warden Procedure.
<i>Verification</i>	Confirmation by examination and provision of objective evidence that the specified requirements of the audit criteria have been met.
<i>Indexing</i>	Process of establishing access points to facilitate retrieval of records and/or information
<i>Records</i>	Information created, received, and maintained as evidence and information by an organization or person, in pursuance of legal obligations or in the transaction of business
<i>Records management</i>	Field of management responsible for the efficient and systematic control of the creation, receipt, maintenance, use and disposition of records, including processes for capturing and maintaining evidence of and information about business activities and transactions in the form of records
<i>Tracking</i>	Creating, capturing and maintaining information about the movement and use of records

4 Responsibilities

4.1 Manager Workplace Health & Safety

The Manager WHS has the responsibility for the development of record keeping requirements for the WHSMS.

4.2 Workplace Health and Safety Advisor

The Workplace Health and Safety (WHS) Advisor has the responsibility for the creation, modification and review of central WHS documentation. As well providing advice to local document controllers on the requirements of any locally produced documents.

4.3 Executive Deans and Directors

Executive Deans and Directors (or equivalent) are responsible for ensuring that:

- the implementation of any faculty generated WHS documentation is created via according to these guidelines
- faculty produced WHS records are indexed, collected, filed, stored, maintained and disposed of according to these guidelines.

4.4 Heads of School and Managers of Units

Heads of School and Managers of Units are responsible for ensuring that:

- the implementation of any school/unit generated WHS documentation is created via according to these guidelines
- school/unit produced WHS records are indexed, collected, filed, stored, maintained and disposed of according to these guidelines.

5 WHS Records and Data

WHS records and data include but are not limited to completed copies of forms, checklists, risk assessments contained in the WHS management system. Additionally, WHS records may include externally produced documentation such as but not limited to material safety data sheets, external WHS audit reports, health surveillance records or workplace monitoring reports.

5.1 Identification and Traceability

Whether a record is stored locally or centrally in electronic or hardcopy form, the records shall be traceable. The record is required to be assigned a unique identifier, for example, Oracle Universal Records Management system assigned sequential numeric number, in accordance with the [UOW Records Management Guideline](#). Traceability of a record will come from identification methods, e.g. alpha numeric, sequential numbering, computer generated and managed record management.

WHS records and associated requirements shall be identified according to the Appendix 1: Master WHS Records Index and [Local WHS Records Index](#).

5.2 Collection, Indexing and Filing

WHS records and associated requirements listed on the Appendix 1: Master WHS Records Index and [Local WHS Records Index](#) is required to be collected as and when the documents are generated in preparation for indexing and filing.

Records will be indexed or otherwise sorted, using a method appropriate to their type and security classification as defined in Appendix 1: Master WHS Records Index. Electronic WHS central records are assigned metadata in accordance with [UOW Records Management Guideline](#), [WHS Network Drive Procedure](#) and [WHS Document Control Guidelines](#).

The records shall be filed and arranged in convenient order for storage or reference. Filing of records is based on file type such as hard copy or electronic media and must be filed in a state which is secured to prevent unauthorised access. Files must be indexed to minimise loss and enable easy retrieval. Records located locally shall be filed in accordance with the Local WHS Records Index to ensure the index/sorting method adopted for that type of record and security level for subsequent ease of retrieval.

5.3 Storage and Maintenance

Where possible the storage and maintenance of all WHS records shall be in accordance with the [UOW Records Management Policy](#) and [UOW Records Management Guideline](#) as well as any requirements specified on the Appendix 1: Master WHS Records Index or [Local WHS Records Index](#).

All externally generated records, e.g. audit report, improvement notices, will be stored in the University's Records Management System by the WHS Unit.

5.4 Privacy, Confidentiality and Access

All data and information contained with WHS records shall observe the [UOW Privacy Policy](#). Any WHS records which require the collection of private or confidential information shall be identified on the Appendix 1: Master WHS Records Index and [Local WHS Records Index](#) where appropriate to do so.

Any document listed as having privacy or confidentiality properties shall have its access restricted to personnel with legitimate business needs. For example, restricted access for hard copy records includes using a locked filing cabinet, electronic records includes password encryption or restricted access via electronic workgroups. Access to records is for persons authorised to access such records, e.g. central records are restricted and may only be retrieved by a member of the WHS Unit.

A person wishing to access a restricted record must make a request in writing which will be considered by the Manager WHS with reference to the [UOW Privacy Policy](#) before the record is released.

The appropriate procedure for access to these records shall be identified on the local record index.

5.5 Document Protection

Electronic records are controlled by levels of security on the specific electronic system. Changes to security levels can only be made in accordance with [IT Security Policies](#). Further information on ensuring protection of records against damage, deterioration and loss is available in the [UOW Records Management Guideline](#).

5.6 Retrieval

Records shall be retrieved using the appropriate retrieval process for the record stored. Electronic records may be retrieved using electronic system search and retrieval mechanisms, hardcopy records must be retrieved using a manual process.

Retrieval of records is for persons authorised to access such record, e.g. central records are restricted and may only be retrieved by a member of the WHS Unit.

5.7 Retention and Disposal

WHS records are to be retained in accordance with the [General Disposal Authority \(GDA\)](#) as well as any requirements specified on the Master or [Local WHS Records Index](#).

Methods of disposal for documents shall be prescribed in the Master and Local Records Index.

5.8 Electronic Data

Electronic records shall be managed in accordance with the [UOW Records Management Guideline](#).

5.9 Master WHS Record Index

Updating (addition, modification, removal) of records contained on the Master WHS Record Index occurs as and when the requirements of the WHSMS change (as per [WHS Document Control Guidelines](#)).

The Master WHS Record Index is a list of records required to be kept as per the WHSMS. The index details:

- the system component requiring the record;
- the type of record
- the location of the storage
- the custodian or responsible officer
- confidential and privacy requirements
- time period for keep the document, and
- how to dispose of the document.

The Master WHS Record Index is contained in Appendix 1: Master WHS Records Index

5.10 Local WHS Record Index

Any local WHS record created by or within Faculties, Schools, Library, or Units will be recorded on the [Local WHS Records Index](#). The [Local WHS Records Index](#) should reflect those requirements outlined in the Master WHS Record Index and list any local records created or required at a local level.

The [Local WHS Records Index](#) should be regularly reviewed and updated to ensure consistency with local record keeping requirements and those set out in the Master WHS Record index. Local records are those forms that have been completed, for example risk assessments, safe work procedures, biosafety self-assessment checklist etc. These should be kept on the local record index.

The [Local WHS Records Index](#) outlines the requirements for typical WHS records for each local area and includes the following:

- record Name
- index requirements
- filing and local storage details

- retention period
- records sensitivity classification
- any localised procedure for access, and
- disposal requirements.

An example of a completed [Local WHS Records Index](#) is located in Appendix 2: Local WHS Records Index.

5.11 Licences

There are activities types that require a licence or qualification e.g. electrician, driving a forklift. Faculties, Schools, Library, or Units are required to collect and maintaining these records consistent with record keeping requirements.

The [WHS Training Guidelines](#) outlines requirements for demonstrating competency where activity types require a licence or qualification e.g. electrician, driving a forklift.

6 Related Documents

- [UOW Records Management Policy](#)
- [UOW Records Management Guideline](#)
- [WHS Document Control Guidelines](#)
- [UOW Privacy Policy](#)

7 Reference Documents

- [NSW Government State Records website](#)

8 Review and Evaluation

In order to ensure that these guidelines continue to be effective and applicable to the University, the program will be reviewed triennially. However, more frequent reviews may be required as per legislative changes, corrective actions or continuous improvement.

Following completion of any review, these guidelines will be revised in order to correct any deficiencies. Any changes will be consulted via the WHS Committee.

9 Version Control Table

Version Control	Date Released	Approved By	Amendment
1	March 2010	Manager WHS	Records handling removed from 138 WHS Document Control Guidelines into this document.
2	March 2012	Manager WHS	Rebrand.
3	March 2013	Manager WHS	Legislative update.
4	April 2015	Manager WHS	Update of Appendix 1 and other minor amendments.
5	June 2016	Manager WHS	Updated broken hyperlinks.
6	July 2016	Manager WHS	Rebrand

10 Appendix 1: Master WHS Records Index

WHS Element	WHSMS Documentation	Records Required	Location	Responsibility	Privacy Requirement	Retention Period	Disposal Method
WHS System	WHS Management System Guidelines	Documented health and safety targets and objectives to facilitate measurement of the WHS system, for example: <ul style="list-style-type: none"> WHS Reports to Council and RACC Meeting minutes Memorandums 	RMS	CAO & CFO	No	20 years	Secured disposal
			RMS	Manager WHS	No	5 years	Secured disposal
			RMS	Manager WHS	No	5 years	Secured disposal
	Records of WHS System review, for example: <ul style="list-style-type: none"> Meeting minutes Memorandums 	RMS	Manager WHS	No	5 years	Secured disposal	
		RMS	Manager WHS	No	5 years	Secured disposal	
	WHS planning arrangements: <ul style="list-style-type: none"> University WHS Management Plan Faculty/Divisional Plans 	RMS	Manager WHS	No	5 years	Secured disposal	
	RMS or local records system	Exec. Dean/Director	No	5 years	Secured disposal		
WHS Auditing Guidelines	WHS Audit Reports and corrective action plan	RMS	Manager WHS	No	5 years	Not applicable	
WHSMS procedures and forms	Examples of WHS documentation e.g. Policy, guidelines, forms and checklists	RMS	Manager WHS	No	5 years	Not applicable	
WHS Risk Management	WHS Risk Management Guidelines	Hazard inspection checklists or reports	RMS or Local records system	Manager of Unit	No	7 years	Non secure recycle

WHS Element	WHMS Documentation	Records Required	Location	Responsibility	Privacy Requirement	Retention Period	Disposal Method
		SafetyNet Hazard and Incident reports	SafetyNet Management System	Manager of Unit	Yes	30 years	Secured disposal
		Risk Assessments	RMS or Local records system	Manager of Unit	No	7 years	Non secured recycling if applicable
	Hazard Chemicals Guidelines	Hazardous Substances Risk Assessment	RMS or Local records system	Manager of Unit	No	7 years	Non secured recycling if applicable
	Manual Handling Guidelines	Manual Handling Risk Assessment	RMS or Local records system	Manager of Unit	No	7 years	Non secured recycling if applicable
	Guidelines on the Use and Management of Alcohol in the Workplace	Alcohol (Events Serving) Risk Assessment	RMS or Local records system	Manager of Unit	No	7 years	Non secured recycling if applicable
	Field Activity Guidelines	Field Activity Risk Assessment	RMS or Local records system	Manager of Unit	No	7 years	Non secured recycling if applicable
Working Safely	Safe Work Procedures Guidelines	Safe Work Procedures	SafetyNet Management System	Manager WHS	No	7 years	Not applicable
	Biosafety Manual	Biosafety Self-Assessment Checklist; PC2 Laboratory Decommissioning Form	SafetyNet Management System	Manager of Unit	No	7 years	Not applicable
	Immunisation Guidelines	Record of Immunisation Staff Decline of Immunisation;	RMS (Personnel File)	Manager Staff Services	Yes	7 years after employment/ study completed.	Not applicable

WHS Element	WHSMS Documentation	Records Required	Location	Responsibility	Privacy Requirement	Retention Period	Disposal Method
		Student Decline of Immunisation	RMS	Manager WHS	Yes	7 years after employment/ study completed.	Not applicable
	Ergonomic Equipment Guidelines	Ergonomic Assessment Checklist	SafetyNet Management System	Manager WHS	No	7 years	Not applicable
	Fieldwork Guidelines	Fieldwork Risk Assessment Form Fieldwork Participant Acknowledgement	RMS or Local records system	Manager of Unit	No	7 years after employment	Non secured recycling if applicable
	Working With Hazardous Chemicals Guidelines	Safety Data Sheets	Chem Alert Management System	Manager WHS	No	30 years	Not applicable
		Hazardous Substances Risk Assessments	RMS or Local records system	Manager of Unit	No	7 years after employment finishes	Non secured recycling if applicable
		Health Surveillance Records	RMS (Personnel File)	Manager Staff Services	Yes	30 years after last date of entry	Not applicable
	Use of Carcinogenic Chemicals Guidelines	Work involving Use of Carcinogenic Substances - Notification Form	RMS or Local records system	Manager of Unit	No	7 years	Non secured recycling if applicable
	Radiation Safety Guidelines	Project/Program Approval Form – Use of Radioactive Substances/ Radiation Apparatus	RMS or Local records system	Manager of Unit	No	7 years	Non secured recycling if applicable
		Radiation dosimetry records	RMS	Manager WHS	Yes	7 years after employment/ study completed	Not applicable

WHS Element	WHSMS Documentation	Records Required	Location	Responsibility	Privacy Requirement	Retention Period	Disposal Method
	Working with Lasers Guidelines	Laser User Registration Form; Laser Equipment Registration Form	RMS or Local records system	Manager of Unit	No	7 years	Non secured recycling if applicable
Inspection and Testing	Inspection and Testing Guidelines	Maintenance records including logbooks, tests, or reports	RMS	Manager WHS	No	Retain for 2 years after working life of plant/ equipment	Not applicable
		Plant registration records	RMS	Manager Maintenance and Energy	No	Retain for 2 years after working life of plant/ equipment	Not applicable
	Asbestos Management Guidelines	Asbestos Register including testing and monitoring results	RMS	Manager WHS	No	Retain for 20 years	Not applicable
Incident management	Hazard and Incident Reporting Guidelines	SafetyNet Hazard and Incident reports	SafetyNet Management System	Manager WHS	Yes	30 years	Secure disposal of any paper records.
		Nominated First Aiders Contact List	Web Content Management System	Manager WHS	No	7 years	Not Applicable
Emergency Preparedness and Response	Emergency Management Plan	Emergency Evacuation Debrief Form	RMS	Manager WHS	No	7 years	Not Applicable
		Building Warden Contact List	Web Content Management system	Manager WHS	No	7 years	Not Applicable
WHS Performance	WH&S Performance Measurement and Reporting	WHS Monthly Reports	RMS	Manager WHS	No	7 years	Not applicable

WHS Element	WHSMS Documentation	Records Required	Location	Responsibility	Privacy Requirement	Retention Period	Disposal Method
	Guidelines						
WHS Consultation	WHS Consultation Requirement	WHS Committee Meeting Minutes	RMS	Manager WHS	No	20 years	Not applicable
		WAC Meeting Minutes	RMS or Local records system	Dean/Director	No	20 years	Secure disposal
		Biannual WAC Survey	RMS	Manager WHS	No	7 years	Not applicable
WHS Training	WHS Training Guidelines	Training Needs Analysis	RMS or Local documents register	Manager of Unit	No	7 years	Non secured recycling if applicable
		Qualifications, skills, competency, certifications	RMS (Personnel File)	Manager Staff Services	Yes	70 years from date of birth or 7 years after separation or resignation, which ever is the longer.	Not applicable
		Training attendance forms Training Evaluation forms;	RMS	Manager PODS	No	5 years	Not applicable
		Induction training records	RMS (Personnel File)	Manager of Unit	No	7 years after employment finishes	Not applicable
WHS Purchasing	WHS Purchasing Guidelines	Purchase order forms detailing WHS specifications	RMS or local records system	Manager of Unit	No	Retain until purchased item is disposed of entirely	Non secured recycling if applicable

WHS Element	WHSMS Documentation	Records Required	Location	Responsibility	Privacy Requirement	Retention Period	Disposal Method
	WHS Contractor Guidelines	Contractor Evaluation Checklist; Contractor Induction Checklist; Contractor Safety Management Plan; Contractor Safe work Method Statements; WHS Performance Report for Contractors.	RMS, SitePass or local records system	Manager of Unit	No	7 years after contract expired.	Non secured recycling if applicable

11 Appendix 2: Local WHS Records Index

Faculty/Division: EXAMPLE

School/Unit: EXAMPLE

Whs Record Title	Storage Location	Record Custodian	Privacy Requirement	Retention Period	Maintenance/D isposal
WAC minutes	Building 1, G20 Filling cabinet.	Mr J. Citizen	No	20 years	Secure disposal