

STANDARD OPERATING PROCEDURE

Preparation and Review of a Standard Operating Procedure, Model Operating Procedure, Operational Guideline or Safe Work Practice

1. PURPOSE

This document provides staff with guidelines for the preparation and review of a Standard Operating Procedure (SOP), Model Operating Procedure (MOP), Operational Guideline (OG) or Safe Work Practice (SWP).

2. DEFINITIONS

Author/Owner	The person who initiates a new document and/or is responsible for the review of a document at the required time
Document	SOP, MOP, OG or SWP
Document Tracker	An application within InfoNET and is explained at point 3.4 of this document
AGD	Attorney General's Department
InfoNET	SafeWork SA's electronic data information system
HSC	SafeWork SA Health and Safety Committee
MOP	Model Operating Procedure which is a Heads of Workplace Safety Authorities (HWSA) endorsed document that relates to the Model Work Health and Safety legislation; and provides administrative and operational instructions and interpretation of how the WHS Act operates in South Australia
OG	Operational Guideline which is a document similar to an SOP or MOP, but is a document that provides SafeWork SA workers with guidance on a particular topic
WH&SC	Work Health and Safety Coordinator
SOP	Standard Operating Procedure which is a document that provides administrative and operational instructions specific to activities undertaken within SafeWork SA
SWP	Safe Work Practice
SWSA	SafeWork SA
WHS Act	<i>Work Health and Safety Act 2012 (SA)</i>

3. BACKGROUND

SafeWork SA develops documents to ensure that particular activities are conducted consistently and safely as far as is reasonably practicable. Consistent processes improve quality and timeliness of outputs and reduce the risks to SafeWork SA and its workers. This procedure guides the development of these documents.

3.1. Principles

Document authors should apply the following principles:

- consultation is required during the development and review of a document
- the document should outline the expectations of SafeWork SA Executive and be:
 - in a consistent format – use templates provided
 - clear and concise – get directly to the point and avoid wordy sentences
 - complete – contain all the steps required to perform the task successfully
 - objective – contain facts only, not opinions
 - be coherent – show a logical, easy-to-follow process.

Avoid:

- vague or meaningless words
- excessive words to describe an activity
- long complicated sentences or paragraphs
- acronyms, abbreviations, slang, symbols or other shortcuts of expression that are not clearly defined
- repeating the same points (unless relevant)
- assuming a conclusion is obvious to the reader.

3.2. Document templates, formatting and content

- All documents must be prepared using the appropriate internal publication template available in *Microsoft Word > File > New > My templates > SOPs, SWPs....*
- Use the green block template for SWPs.
- Use the yellow curved template for SOPs, MOPs and OGs.
- Maintain the formatting and headers as embedded and noted on the templates.

3.3. Responsibilities

- The Principal Project Officer Workforce Unit is responsible for coordinating the review of SOPs, MOPs and OGs.
- Principal Project Officer (WH&SC) Workforce Unit is responsible for coordinating the review of SWPs.
- Manager Communications & Engagement Team is responsible for:
 - the final formatting of documents
 - progressing the documents for Executive approval
 - publication of the approved document
 - archiving any revised documents.
- Document author/owner is responsible for monitoring and managing the progression of the document from conception to dissemination.

3.4. Document management

Records of document development, review and stakeholder consultation must be maintained as evidence of consultation as required by the *Work Health and Safety Act 2012 (SA)* and *State Records Act 1997*. These records are maintained via the RecFind system which is well recognised within SafeWork SA. Senior Team Administration Officers can guide SafeWork SA workers on the RecFind records management process.

The *Document Tracker* is an electronic application within InfoNET designed to alert document owners and/or authors that a document is due for review. The application will send an automated email to a document owner/author, their manager when a document is due for review. The application has four options that indicate the status of a document, specifically *Not Started; In Progress; Completed; or Cancelled*. Access for editing to the Document Tracker is limited to the Workforce Unit.

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4. PROCEDURE

Any actions related to a document in this procedure refer to either a single document or to multiple documents depending on the circumstances.

Responsibility	Action
Author	<ol style="list-style-type: none"> 1. Check there is no existing SafeWork SA or AGD document that addresses the same/similar subject matter. 2. Obtain approval from your manager to develop the document. 3. When approved, obtain a RecFind file for the document from team administration officer. 4. Consult with the team manager and staff with relevant expertise and/or knowledge about the subject matter. 5. Draft the document. <p>NOTE: Any related documents should also be reviewed and amended as required.</p>
Administration Officer	<ol style="list-style-type: none"> 6. Create a RecFind file and hard docket and hand to document author.
Author	<ol style="list-style-type: none"> 7. Identify all affected stakeholder teams and individuals that the document will affect, including Chief Advisors/Officers and technical specialists. <ol style="list-style-type: none"> a. If the document has potential to meet the criteria for consultation as defined in section 49 of the WHS Act, HSRs for the affected teams must be consulted; and b. If it is an SWP, the SafeWork SA WHS committee must be consulted. 8. Distribute the document (and any amended related documents) via Email requesting written feedback on the content by a specified date not exceeding two weeks to affected stakeholder/s: <ol style="list-style-type: none"> a. Teams via team managers b. Chief Advisors/Officers and technical specialists directly c. Where applicable, to HSRs and the WHS Committee via the SafeWork SA WHS Committee Chairperson. 9. Place copies of the circulation emails and all received feedback in the RecFind docket.
Affected Stakeholders	<ol style="list-style-type: none"> 10. Review the draft document(s) and provide comment in writing to the author.
Author	<ol style="list-style-type: none"> 11. Consider feedback received from affected stakeholders and amend document accordingly. 12. If document is amended, return the document back to affected stakeholders requesting secondary feedback on the content by a specified date not exceeding two weeks.
Affected Stakeholders	<ol style="list-style-type: none"> 13. Conduct final review and sign-off approval and consultation page.
Author	<ol style="list-style-type: none"> 14. Finalise the document. 15. Place hard copy in the RecFind docket. 16. Supply electronic copy of the document to Communications & Engagement Team. 17. Complete a Communications & Engagement Team Job Request


	<p>Form requesting final approval checks to be completed prior to Executive sign-off.</p> <p>18. Place a copy of the Consultation and Sign-Off Sheet (see Appendix 1) in the RecFind docket.</p> <p>19. Forward RecFind docket to respective team manager for approval.</p>
Author's Manager	<p>20. Conduct final review and approve document for progression and/or</p> <p>a. Return to author for re-work if required, or</p> <p>b. Forward the file to the Communications & Engagement Team for final grammar, spelling and presentation checks.</p>
Communications & Engagement Team	<p>21. Conduct final checks on the document.</p> <p>22. Forward the RecFind docket and document to Executive for approval.</p>
Executive	<p>23. Review document, and return it to the Author with or without approval.</p>
Author	<p>24. If document is approved by Executive – go to step 26</p> <p>25. If document is not approved by Executive - amend document and return to Executive. (This stage may require further stakeholder consultation)</p> <p>When document is approved by Executive</p> <p>26. Upon approval of document, consider any training that may be required, and develop it – if training is not required, go to step 29</p> <p>27. Liaise with the A/Team Leader for the Workforce Unit to have training facilitated</p>
Author	<p>28. Forward the RecFind file and approved document to Manager Communications & Engagement Team for agency promulgation.</p>
Communications & Engagement Team	<p>29. Place document onto <i>Q Shared Data (RO) SWSA/Laptops/SOPS or Q Shared Data (RO) SWSA/Laptops/WHM/MOPS</i> as applicable.</p> <p>30. Place a 'What's New' item on the Intranet alerting staff that the document is in place.</p> <p>31. Place a copy on the Intranet's 'What's New' page into the RecFind file as evidence of the promulgation.</p> <p>32. Enter file movement onto RecFind.</p>
Workforce Unit	<p>33. Update the <i>Document Tracker</i> to reflect the status of the document as <i>Completed</i>.</p> <p>34. Archive the RecFind docket to corporate compactus.</p> <p>35. Consider if the document is suitable for inclusion into the eManual.</p>

4.1. Existing document review

All existing SOP, MOP, OG and SWP documents shall be reviewed at least bi-annually; and must be immediately reviewed if practices and/or procedures change. The *Document Tracker* will generate an automated email advising the nominated author and their manager that a document is due for review.

Upon receipt of the automated message:

1. Author will obtain the relevant RecFind docket
2. Workforce Unit to communicate with the author and determine review timelines

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3. Workforce Unit to update the *Document Tracker* status to 'In progress'
4. Author to commence the review process by commencing at point 8 of the development process.

5. REVIEW

This SOP must be reviewed every two years and immediately modified if practices and/or procedures change. Review of this SOP may require consequential changes to related documents.

A document review schedule like the one below must be used for document version control.

Author: Name [REDACTED] **Issue Date:** Aug 2004
Contact: Phone [REDACTED] **Next Review Date:** June 2016

Version 1	August 2004	Revision 1	August 2010	Revision 2	August 2013
Revision 3	June 2014	Revision 4			

6. RELATED DOCUMENTS

Work Health and Safety Act 2012

Work Health and Safety Regulations 2012

State Records Act 1997

Terms of References for SWSA WHS Committee and Leadership Team

Consultation Sign-off Sheet (Appendix 1)

Communications & Engagement Team Job Request Form

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APPENDIX 1: CONSULTATION AND APPROVAL RECORD

CONSULTATION AND SIGN-OFF SHEET

Title of document:

DEVELOPMENT PHASE			
Name and title	Comment	Signature	Date
Author: Name			
Subject Experts/Inspectors: Name	This document has been reviewed in line with the relevant legislation and: <ul style="list-style-type: none"> Audit results Trends Consultation Approved to progress to consultation phase		
Team Manager: Name	Approved to progress to consultation phase		
CONSULTATION PHASE			
Workforce Unit WH&SC: Name			
Affected stakeholders: All HSRs (signed by author as consulted)			
Communications & Engagement Team: Name	Proof read		
Chairperson/SWSA HSC: Name	Approved to progress to Executive (SWP Only)		
APPROVAL PHASE			
Liaison Team Name			
Relevant Director: Name			
Executive Director: Name			
COMMENCEMENT PHASE			
A/Team Leader Workforce Unit: Name	<ul style="list-style-type: none"> Develop training where required or Facilitate training Document Tracker Updated Approved electronic version placed onto relevant file in Q drive. 		
Webmaster: Name:	<ul style="list-style-type: none"> Final version uploaded to relevant locations 'What's New' item placed on Intranet 		
Workforce Administrator: Name:	<ul style="list-style-type: none"> RecFind docket archived Final version print copy placed in RecFind docket RecFind updated and hard docket archived Previous version archived electronically 		