



SafeSys Interim Solution

Q and A Sheet

November 2018

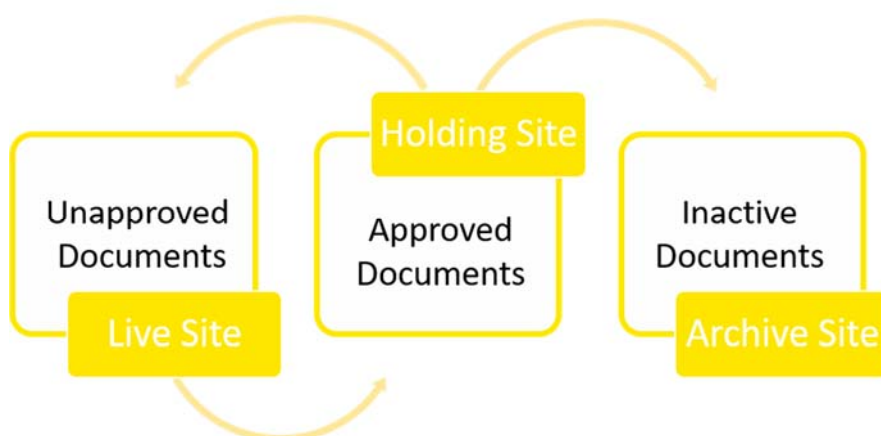
Q1: What is the interim solution all about?

A: SafeSys was developed some 4 years ago and since this time its functionality and application has increased substantially.

This has impacted both system performance and stability, and whilst a number of minor modifications have been implemented, unfortunately more recently these have not delivered long-term, robust or acceptable user solutions.

Consequently, this interim solution aims to improve and maintain system performance and functionality until such time as an alternative long-term solution is identified and implemented.

This interim solution will see changes in system architecture for the management of Risk Management Forms and Safe Work Procedure documents as follows:-



Q2: What records will be held where?

A: The status of each record will determine the site on which it resides and the length of time it resides on the site.

The following table highlights the “nature” of records held on each site.

Live Site Records	Holding Site Records	Archive Site Records
Draft Submitted Pending Approval Approved (pending move to Holding site) Rejected Confidential	Approved Due for Review	Existing archived records (irrespective of status)



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Q3: What does the record status really mean?

A: Record status is defined as follows:-

Draft:	Document that has been created and saved by the author
Submitted:	Document that has been submitted by the author for approval
Pending Approval:	Document that has been received by the approver for approval
Approved:	Document that has been approved by the approver
Rejected:	Document that has been rejected by the approver
Due for Review:	Document that has exceeded its Next Review Date

Q4: From a user's perspective what is the difference between "submitted" and "pending approval" record status?

A: When a draft document is submitted for approval its status changes from "draft" to "submitted". It remains in this status until the approval workflow is initiated. During this time (usually 10-15 minutes) the author can change or update the document. Once the approval workflow has been initiated and the status changes to "pending approval" changes to the document cannot be made unless it is rejected by the approver. This alters the document status to "rejected".

Q5: What SafeSys features are impacted by this change?

A: The changes implemented only relate to actions associated with Risk Management Forms (RMF's) and Safe Work Procedures (SWP's)

Q6: What functionality is available at each site?

A: Site functionality is detailed below:--

- Live Site: Documents can be created, edited/ updated, saved as draft, submitted for approval, rejected, and approved. Once approved they will be automatically moved to the Holding site.
- Holding site: Documents can be viewed, read (with Competency Register noted) and moved. No document creation, updating or approval can occur.
- Archived site: Documents can be viewed. No record history is retained, and records cannot be reinstated. If they are required, they will need to be re-created.

Q7: How do I know where to locate documents?

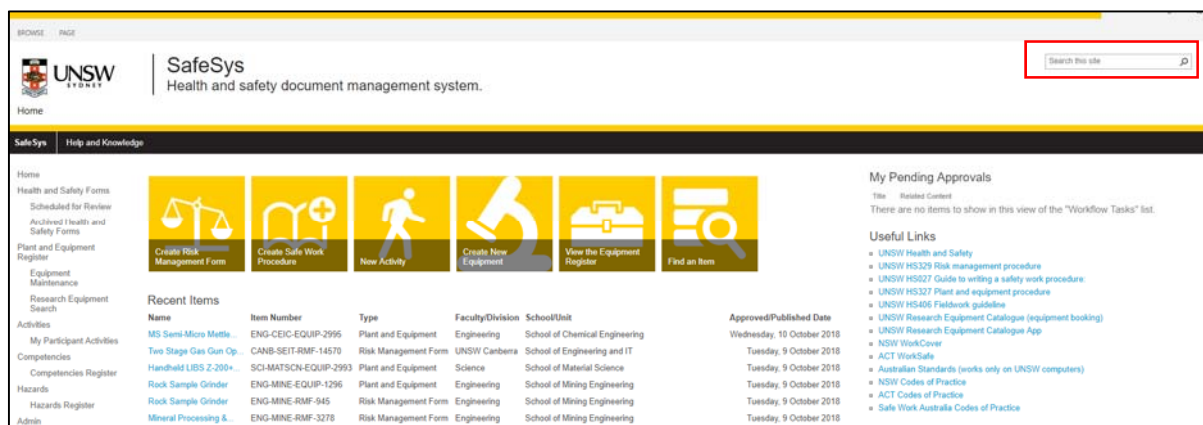
A: Records will be located on sites as mentioned above however, there is no real need to locate a document by accessing a site, you can use the "Search this site" feature (see below).



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Q8: How will I know which site I am on?

A: The URL will indicate exactly where you are so for example the holding site will be denoted by "hs" in the URL eg <https://safesys.unsw.edu.au/hs/SitePages/Home1.aspx>

Q9: What will happen if I need to update/ edit a document?

A: If you wish to alter an existing document you will need to move it from the Holding site to the Live site using the "Move" button. When this button is selected the document will be copied and the copy transferred to the Live site as a "draft" document.

The original document will remain on the Holding site as the authorised document. In such instances the document can be read and the Competency Register will be updated accordingly.

The "draft" document will remain on the Live site until such time as approval occurs or it has met one of the move rules refer Q14 and Q15 below.

Q10: When a document is moved from the Holding to the Live site what happens?

A: When a document is moved from the Holding site to the Live site to be edited the document along with all linked documents are copied to the Live site. Once the Live site document is updated and approved, the Live site version (including any linked documents) will automatically (within the day) "overwrite" the existing Holding site version. The "overwritten" Holding site document is retained for historical and comparison purposes.



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Q11: What email notifications will be sent and to whom?

A: Email notifications will occur in three situations. These include workflow notifications, document movement between site notifications and document deletion notifications. Details are as follows:-

1. Workflow Notifications

- ~ Pending Approval – email to approver advising of form requiring approval with link to form (once a week for 6 weeks)
- ~ Approved – email to author advising form has been approved and moved to the Holding site including link to document (once only)
- ~ Rejected – email to author advising form has been rejected by author with link to form (once only)
- ~ Sharing a draft for review – email to nominated individuals requesting review with link to document by author (once only)
- ~ Due for review – email to current author requesting review with link to document (author determined)

2. Movement between Site Notifications

- ~ From Live site to Holding site
Following document approval – email to author advising form has been approved and moved to the Holding site including link to document (once only)
- ~ From Holding site to Live site
Following document move request (for update purposes) – email to requestor, author and approver advising document is available for updating with link to document
- ~ From Holding site to Archive site
Where document has exceeded its “Due for Review” date by 6 months – emails to current author, approver and school administrator advising of move to Archive (4,2 1 week/s and 2 days prior to move date) with link to document*

3. Document Deletion Notifications

- ~ Where document has exceeded its last modified date by 6+ months - emails to current author, approver and school administrator advising of record deletion (4,2,1 week and 2 days prior to deletion date) with link to document for the following document status*:-
 - Draft
 - Pending Approval
 - Rejected

* Refer also Q14, Q15 and Q16 below.

Q12: When will documents be moved between sites?

A: Automated moves from the Live to the Holding site will occur on a daily basis. Automated moves to the Archived site will also occur on a daily basis.



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Manual moves from the Holding to the Live site may take some time to process and will be dependent upon the number of documents to be moved (requested and linked) however, it is anticipated that this will occur on the day of request.

Q13: When are automated moves between sites scheduled to occur?

A: These will occur out of hours between 1:00am and 3:00am each day (including weekends). During this time, it will not be possible to access the system

Q14: What are the rules for the automated move of documents following system release?

A: Move parameters are detailed in the following tables:-

Live Site to Holding Site	
Record Status	Condition Date
Approved	Last modified \leq 1 day

Holding Site to Archive Site	
Record Status	Condition Date
Approved	Last modified \geq 6 months
Due for Review	Due for Review \geq 6 months

* Refer also Q15 and Q16 below.

Q15: Will any records be deleted?

A: Any unapproved documents residing on the Live site that have not been modified within a 6-month period will be deleted. This will include the following document status: -

- Draft
- Pending Approval
- Rejected

However, prior to deletion email notifications will be sent to the current author, approver and school administrator at intervals of 4, 2, 1 week/s and 2 days advising of impending document deletion. To prevent deletion the document must be amended in some way.

NB: A "Submitted" status should not transpire for an extended period and is not included in any rules.



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Q16: Will I have any additional timeframe to review and update records before they are deleted or archived following system release?

A: Yes, in instances where *existing unapproved documents* have a last modified date in excess of 6 months you will have 6 months to review and update these records before the move rules will apply (refer Q14 and Q15 above).

Rules will therefore apply as follows:-

Live Site			
Record Status	Condition Date	Additional Timeframe	Action
Draft	Last modified \geq 6 months	6 months	Deleted
Pending Approval	Last modified \geq 6 months	6 months	Deleted
Rejected	Last modified \geq 3 months	6 Months	Deleted

Holding Site			
Record Status	Condition Date	Additional Timeframe	Action
Due for Review	Due for Review \geq 6 months	6 months	Archived

Documents without a "Next Review Date" or a N/A notation for "Period of Time Before Next Review" will be archived 12 months after last modified – email notifications will be consistent with rules mentioned above.

Confidential records will be stored on the Live site.

Q17: Can a document be noted as read and competency recorded when a "copy" exists on the Live site?

A: Yes, the approved document remains accessible on the Holding site as the current and enforceable document and can be noted as read by individuals with competences recorded in the Competency Register.

Q18: Will there be any documents that will not be moved to the Holding site?

A: Confidential documents will not be moved to the Holding site, they will remain on the Live site.

Q19: What happens if I ignore the emails for documents?

A: Documents will be automatically moved or deleted depending upon the rules mentioned above (refer Q 14, Q15, Q16). If they need to be retained, they must be moved to the Live site and/or modified. This will provide a further 6-month period before the record move rules will apply.



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Q20: Will an audit trail will be available indicating the date upon which documents are moved/relocated between sites?

A: A record of the move date, location and requestor (where relevant) will be maintained for audit purposes.

Q21: When a request to move a document to the Live site occurs, is it possible to exit SafeSys or undertake other tasks within SafeSys without interrupting / corrupting the move process or other tasks?

A: Yes, such actions are possible and will not impact the process or any other tasks.

Q22: Where is “compare with last approved version” functionality possible?

A: Comparison functionality is possible in both the Live and the Holding sites

Q23: Are there any changes to the location of documents or processes associated in Activities, Competency and Equipment Registers?

A: No, there have not been any changes applied to documents or processes associated with these Registers.

Q24 Is it possible that a Due for Review document is automatically archived whilst the document review process is in place?

A: No, once a move request for a “Due for Review” document is initiated, the document is flagged so that it cannot be moved to the Archive site.