



IM-001-01

Document and Data Control Procedure

Version 1.0

Issued July 2021

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1. Introduction

The procedures below prescribe the parameters for the preparation, review, approval, control, identification, issue, revision, and maintenance that are applied to data and document control. The Document and Data Matrix Tables define how these parameters apply to each document.

2. Purpose

The purpose of this document is to provide the controls to manage all drawings, documentation and data that relates to the Safety Management System of Oberon Tarana Heritage Railway. These documentation and data controls will ensure that:

- Appropriate documents are available at all locations where operations essential to the effective functioning of the quality system are performed; and
- Invalid and /or obsolete documents are promptly removed from the OTHR website, preventing unintended use.

This control is applicable to all Oberon Tarana Heritage Railway (OTHR) documents.

3. Scope

All records which are required to demonstrate the effectiveness and compliance of the OTHR Safety Management System shall be legible, identifiable and traceable to the activity, product or service involved and retained as outlined below.

The Management Committee shall ensure records falling outside of the SMS but critical to business or legislative requirements are also maintained to ensure they are legible, identifiable and traceable and appropriately retained.

4. Definitions

Record - is a document showing results achieved or producing evidence of activities performed to establish and maintain a Safety Management System.

5. Responsibilities

It is the responsibility of the OTHR Management Committee to ensure that SMS records are easily accessible and stored in a manner to prevent damage, loss or deterioration and maintain legibility.



Where there is a further requirement to ensure that access to records is controlled to limit unauthorised access, it shall be the responsibility of the Administration Manager to provide manage records in accordance with this requirement.

The following OTHR personnel have specific responsibilities under this policy:

- President
- Safety Manager
- Administration Manager
- Persons preparing documents relating to the Safety Management System.

6. Safety Management System Records

Records shall include but not be limited to the following;

- Safety Policy
- Safety Culture
- Governance and Internal Control Arrangements
- Management Accountabilities
- Regulatory Compliance
- Document Control and Information Management
- Review of Safety Management System
- Safety Performance Measurement
- Safety Audit Arrangements
- Corrective Actions
- Management of Change
- Consultation
- Internal Communication
- Training and Instruction
- Risk Management
- Human Factors
- Procurement and Contract Management
- General Engineering and Operation Safety Management
- Process Control



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- Asset Management
 - Safety Interface Coordination
 - Management of Notifiable Occurrences
 - Rail safety Worker Competence
 - Security Management
 - Emergency Management
 - Health and Fitness
 - Drugs and Alcohol
 - Fatigue Risk Management
 - Resource Availability

7. Document Procedures

The procedures below describe the parameters for preparation, review, approval, control, identification, issue, revision, and maintenance that are applied to data and document control. The Document and Data Matrix Tables define how these parameters apply to each document.

a) Quality Procedures

To ensure uniformity, procedures must follow a standard format and layout. This section outlines the procedures to be followed as a guide for preparation of all OTHR SMS documents.

b) Preparation of documents

All documents will include the following details:

- VERSION: Numerical – a new version represents a *substantial* re-write of the original.
- REVISION: a number starting at zero – a minor series of amendments.
- DATE of Version/Revision.

8. Managers Work Folders

Individual Managers and Supervisors will be responsible for updating their own documentation. Managers/Supervisors who have difficulty in downloading the latest versions should seek assistance for the latest copy.

Documents without a distribution list (e.g. Toolbox Meetings) will be on the Website and they will be available when required by all parties.



9. Correspondence

External correspondence: Outward correspondence from OTHR is to be sent by the Secretary. Official correspondence from the Secretary bears a unique correspondence number.

Incoming Mail and Email to OTHR: Incoming correspondence will be directed to the Secretary for action. The Secretary shall record the correspondence and act on the contents, file the information in the appropriate file. Correspondence is tabled at committee and general meetings.

Outgoing Mail and Facsimiles: A copy of all outgoing correspondence must be kept by the secretary and originator.

Distribution of Contents: Where copies of documents are distributed, the receiver must keep the original or a copy on file. This also applies to items received such as certificates, statements etc. especially documents relating to Rail Safety Worker Competency where details may be required for our Safety Records.

10. Electronic Documents

All SMS documents will reside on the internet (web) site. These documents are recorded in the Document Register.

It shall be the responsibility of the Administration Manager to ensure the Electronic SMS Data is backed up and securely retained as outlined for the below periods.

- Electronic documents: will be the Primary Document and will be identified by a date code (dd/mm/yy) e.g.: *document name 150809.doc*
- Electronic documents will be stored in 2 places:
 - On the Administration Managers computer.
 - On an OTHR separate back-up disk drive.

Printed copies are un-controlled documents. The controlled version is stored on the website.

It is the Member or user's responsibility to check that the date on the document is the most current available by referring to the list on the Website.

11 Maintenance and Retention

All OTHR documents are to be retained for a period of SEVEN YEARS from the date of their receipt or creation except for FINANCIAL documents which are to be retained for TEN YEARS.

After the retention period of the records has expired it is the responsibility of the Management

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Committee to determine their future. At the expiration of the retention period, the Administration Manager shall ensure the disposal of records is controlled. Following this period, they will be sent to the OTHR Management Committee for decision on whether it is to be archived or destroyed.

Documents in use are the responsibility of the individual Manager or member.

OTHR will ensure safety records are available for inspection by authorised parties, as required. The request to view records must be made in writing to the Management Committee.