

Document and Record Control Policy

Our commitment

Romann Logistics is committed to achieving work health and safety (WHS) document and record control that meet our legal obligations and support our WHS management system.

How we will meet our commitment

Documents refer to structured units of information recorded in any format and managed as a discrete unit or object (e.g. this Document and Record Control Policy). Records refer to information created, received and maintained as evidence of legal obligations or general business activities (e.g. a Risk Register).

Under the Work Health and Safety Laws Romann Logistics has a primary duty of care to provide any information and instruction necessary to protect all persons from risks to their health and safety and to maintain accurate WHS documentation and records.

Our objectives are to:

- Establish and maintain a framework under which WHS documents and records are created and managed
- manage WHS documents and records in a manner that is recorded, planned, controlled, monitored and audited

Documentation is critical to the success of our WHS management system as it enables the consistent application of policies, procedures, methodologies and specifications for work health and safety in the workplace. Records also play a key part in supporting our WHS management system as they provide evidence of WHS information for ongoing monitoring, review, improvement and audit. To this end, we

have developed a Document and Record Control Framework that supports this process and is detailed in the responsibilities below.

Scope

This policy and supporting procedures apply to any worker with control or influence over documents and records (including but not limited to the roles listed below).

Responsibilities

Romann Logistics has identified the following roles within our organisation with responsibilities for document and record control, as:

- the employer/ person conducting a business or undertaking (PCBU)
- managers/supervisors
- workers

A summary of the key responsibilities for each role are listed below.

Employer/PCBU Responsibilities

The Employer or PCBU can be a sole trader, the partners in a partnership, a company, an unincorporated association or a government department. In our organisation this responsibility is accepted by the Director(s)

The Employer/PCBU must:

- ensure all elements of the WHS management system are documented, communicated to all parties involved and reviewed and maintained on an ongoing basis (e.g. policies and procedures)
- ensure all supporting WHS management system records are created, maintained and reviewed on an ongoing basis (e.g. risk register, incident register, safe work procedures, training records etc)
- ensure all documents and records are created in consultation with the relevant stakeholders and impacted parties

- undertake audits of WHS documents and records on a regular basis to facilitate the ongoing improvement of our WHS management system
- ensure documents are subject to document control measures (i.e. include a document title, version number, page numbers, date of release, date of review, and the name, role and signature of the endorsing person)
- ensure documents are subject to a formal documented review and approval process prior to distribution
- provide a secure document and record storage and retention process that ensures the privacy of personal information is protected and documents and records are secure
- ensure records are retained for at least the minimum period specified by the relevant legislation (e.g. retain driver work diaries for a minimum of three years) Refer to Appendix 1 for further explanation.

Manager/Supervisor Responsibilities

Managers and supervisors are workers who have an area of control within the workplace. In our organisation this responsibility is accepted by the National Operations Manager, National Business Development Manager and Key Account Manager.

Managers and supervisors must:

- ensure appropriate documents and records are maintained and reviewed on an ongoing basis within their area of control
- ensure documents and records are audited on a regular basis within their area of control
- ensure new documents are created by appropriate workers and subject to review, approval and version control
- ensure new documents are communicated to relevant stakeholders and impacted parties
- ensure records are accurately completed and maintained by appropriate workers
- ensure company privacy, confidentiality and security requirements are met

Worker Responsibilities

A worker is any person who carries out work for a PCBU, including work as an employee, contractor, subcontractor, self-employed person, outworker, apprentice or trainee, work experience student, employee of a labour hire company placed with a 'host employer' and volunteers.

Workers must:

- follow all document and record control requirements in their day-to-day work
- create new documents and edit existing documents in line with the review, approval and version control requirements
- complete records accurately, honestly and in a timely manner
- only access and/or alter documents and records that they are authorised for
- adhere to company privacy, confidentiality and security requirements

Supporting policies and procedures

This policy operates within the Risk Management Framework outlined in the Risk Management Policy and Procedure and the Work Health and Safety Policy.

This policy should be read and followed in conjunction with the:

- Chain of Responsibility Policy
- Drugs and Alcohol Policy
- Fatigue Management Policy and Procedure
- Speed Management Policy and Procedure
- Load Management Policy and Procedure
- Vehicle Standards and Maintenance Policy and Procedure
- Consultation and Communication Policy
- Training and Competency Policy
- Hazard Observation Procedure
- Incident Management Procedure

Implementation and evaluation

Romann Logistics will ensure this Policy is reviewed and evaluated for its effectiveness in delivering policy objectives on an annual basis or earlier in the event of major changes to the legislation or our organisation structure and operations.

**Policy authorised by: George Manassa,
National Business Development Manager**

Signature: GM, digitally signed 05.04.2022

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Appendix 1

The table below provides a sample explanation of potential storage, retention and security requirements.

Type of document or record	Retention duration	Security level required for access	Action required
Staff Personal Records – Electronic	10 years after stopping work	HR Permission Access CEO Permission Access	When employee leaves or contractor stops working, mark the electronic folder with the destruction date
Staff Personal Records – Paper	10 years after stopping work	Locked Cabinet – HR retain the key	When employee leaves or contractor stops working, mark paper folder with the destruction date
Work Diary	3 years after last entry	Archive boxes located in offsite storage facility	Mark archive box with destruction date based on most recent diary entry date plus 3 years



I have read and agree with the policy above.

Name:

Signature:

Date:

Authorised Officer: