



RAIL INDUSTRY SAFETY AND STANDARDS BOARD

ABN: 58 105 001 465

ADMIN 3.10 RECORDS CONTROL

VERSION 7

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1 Purpose

This procedure details the responsibilities and methods for the identification, collection, indexing, filing, storage, maintenance and disposition of all records for RISSB.

2 Procedure

2.1 Identification

All records are to be legible, clear in intention and identifiable to the product or service to which they relate.

2.2 Alterations

Records are not changeable, and as far as possible, completed records are kept free of any hand-written alteration.

Where an alteration is required, no attempt is to be made to conceal the alteration. The person making the change initials and dates the change.

Soft copies are secured to prevent unauthorised changes to records.

2.3 Storage

Records are to be stored and maintained in such a way that they are readily retrievable in facilities that provide a suitable environment to minimise deterioration or damage and to prevent loss.

Appropriate consideration regarding the security and safety of records is given when choosing a storage location.

2.4 Process Records

Identification of minimum process record requirements are specified within the Records Requirements section of each procedure.

2.5 Access to Records

RISSB records are kept confidential and are maintained in secure storage. Access to records is strictly managed in accordance with RISSB record keeping procedure, and the RISSB Privacy Policy.

Generally, the only personnel authorised to access these records include:

- RISSB Management and staff in the course of their business
- Professional advisors, and external service providers engaged by RISSB to provide contractual services

- RISSB contributors accessing records relating to their particular Standing Committees, Development Groups and other working groups
- Certification, accreditation bodies as required only to verify organisational compliance
- Regulatory and other bodies as required by Law

2.5.1 Public Access to Records

Special provisions apply in regard to the release of some types of records, namely:

- Product development records made public
- Private records released in accordance with RISSB Privacy Policy

In all instances where RISSB records are made available publicly, RISSB will do so in strict accordance with the RISSB Privacy Policy and the National Privacy Provisions.

Any such record releases will be:

- reviewed by the relevant Managers to ensure released information:
 - is measured and appropriate for the purposes of transparency, and industry/community participation;
 - maintains confidentiality of SC and DG deliberations; and
 - sufficiently de-identifies individual contributors and participants in accordance with privacy provisions.
- approved for release by RISSB CEO.

2.5.2 Product Development Records

Identification of minimum product development records is specified within the Records Requirements section of ADMIN 4.1- ADMIN 4.7

Product development records may be subject to Public Access requests.

Product development records are to be retained for ten (10) years from the document completion date.

Minimum product development records include:

- Project Proposal Records
 - Project proposal requests (Product Review Form and Product Priority Form)
 - Annual workplan, showing future projects up to 18 months in advance (MS Excel – versioned and saved annually).
 - Minutes of relevant Board Meetings (RISSB CEO and Board Approvals)
- Project Development Records
 - Standing Committee – Code of Conduct
 - Minutes of all Standing Committee Meetings
- Project Plans (Asana Records)

- Development Group – Code of Conduct
- RFS documentation (authors)
- All other relevant project correspondence
- Evidence of consideration of Int. or Aust. Standards
- Preliminary Drafts (Draft 0)
- Project Review and Comment Records
 - Issues/comments, and their disposition recorded in PDF commenting tool
 - Public comment documents
 - Minutes from the workshop (if applicable)
 - Product drafts (1st, 2nd, subsequent, Final) (Each draft version submitted for review to be retained).
- Independent review records
 - RFS and contract documentation (independent reviewers)
 - IR Reports
- Product Approval Records
 - Development Group signoff certificates
 - Standing Committee signoff certificates
 - Board Approvals certificates.
- Product Publication Records
 - Final Published Products

2.6 Retention and Disposition

Records are kept for a period as specified in the Records Register. Records Registers shall detail:

- record type;
- who is responsible for collecting, maintaining; and
- the record retention period.

Records should be archived electronically.

If physical copies are retained, the following process will apply.

Records that are archived in boxes require that each box is identified with the contents of each box recorded on a form which is placed both on the inside and outside of each box indicating its contents and the earliest disposal date.

Following the end of the storage period, the contents of each archive will be destroyed by shredding. A Record Disposal Schedule will be maintained by the Quality Assurance Lead/manager.

2.7 Record Requirements

The following records are retained as evidence of compliance with this procedure:

- Record Register
- Record Disposal Schedule
- Archival records