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CS ENERGY PROCEDURE

ARCHIVE MANAGEMENT OF PHYSICAL RECORDS CS-DRM-02

Responsible Officer: Records Manager
Responsible Manager: Assistant Company Secretary
Responsible Executive: Executive General Manager Corporate Services

DOCUMENT HISTORY

Key Changes	Prepared By	Checked By	Approved By	Date
Original Release	S Collard	R Freath	R Freath	13/12/2012
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1 PURPOSE

To ensure that records are appraised, preserved and retained for the appropriate time periods in appropriate environments as outlined in the Queensland State Archives (QSA) *General Records Disposal Schedule (GRDS)* and the *Energy Sector Retention and Disposal Schedule*.

Undertaking the archival process:

- ensures that information is appropriately disposed of in accordance with approved retention and disposal schedules
- reduces risk associated with disposing of records too early or retaining records for too long
- makes the task of archiving and disposal more efficient by reducing backlog, optimising resource requirements and reducing retrieval time
- allows for better space management, and
- ensures that CS Energy is compliant with the *Public Records Act 2002* and the *Records Governance Policy*.

2 SCOPE

This procedure applies to all physical business records (in all formats) created and received by CS Energy and subsidiary companies that form a history of the organisation's business activity. This includes all on-site or off-site archives as well as physical records stored locally within team areas. Records deemed to be of continuing value need to be identified and retained in a useable form for a minimum period as specified in an approved Retention and Disposal Schedule. This covers both the non-permanent and permanent storage of CS Energy records and the disposal of non-permanent records.

2.1 What is a Record?

Business Records provide evidence of actions, approvals, decisions, processes, communications and correspondence and are the cornerstone of CS Energy accountability. It is not a Business Record if it does not contribute to CS Energy's business activities or decision making processes. Business Records include drafts of final documents that were circulated internally or externally for comment or feedback.

Any recorded information created or received by an organisation in the course of their business or conduct of their affairs. A record provides evidence of activities. This is irrespective of the technology or medium used to generate, capture, manage, preserve and access those records.

- Public Records Act 2002

Records are both evidence of business activity and information assets. Any set of information, regardless of its structure or form, can be managed as a record. This includes information in the form of a document, a collection of data or other types of digital or analogue information which are created, captured and managed in the course of business.

- AS ISO 15489.1:2017 – Information and documentation – Records Management

2.2 What is a Physical Record?

Physical Records can be found in a range of formats including, but not limited to –

- Diaries / Hand-written Notes
- Pen-signed Documents (e.g. – Contracts)

- Microfilm / Photographs
- Publications / Newsletters / Reports
- Diagrams / Maps / Plans / Drawings
- Videos / Audio / CDs / DVDs

3 RESPONSIBILITIES AND ACCOUNTABILITIES

3.1 Chief Executive Officer (CEO)

The Chief Executive Officer (CEO) has a responsibility under legislation to ensure that full and accurate records are made and kept of CS Energy business activities. In doing so, they will comply with policies, standards and guidelines issued by the State Archivist and ensure that appropriate controls are in place for the creation, management and retention of records.

The Chief Executive Officer is responsible for –

- Ensuring that this procedure is followed in order to support the secure and safe storage of CS Energy business records and to ensure that they are retained for the minimum periods in accordance with mandated Retention and Disposal Schedules.
- Ensuring that the authorised delegate (Records Manager) is supported in the implementation of this procedure

3.2 Records Manager

As the authorised delegate, the Records Manager has a responsibility under government legislation to ensure that full and accurate records are made and kept of CS Energy business activities. In doing so, they will comply with policies, standards and guidelines issued by the State Archivist and ensure that appropriate controls are in place for the creation, management and retention of records.

The Records Manager is responsible for –

- Ensuring that this procedure is in line with current legislative requirements in order for the organisation to meet expected compliance.
- Ensuring that CS Energy business records are retained for the minimum periods in accordance with mandated Retention and Disposal Schedules.
- Managing and coordinating the legal disposal of CS Energy business records across all CS Energy sites
- Supporting document and records management staff to fulfil their responsibilities in relation to the correct storage of CS Energy business records
- Providing advice in relation to retention and disposal of CS Energy business records to all CS Energy employees, contractors and consultants
- Providing final approval for the destruction of any CS Energy business records for all disposal requests

3.3 Document Management Officer / Records Management Support Officer

Document Management Officers, Records Management Support Officers or Library Officers have a responsibility to assist and encourage staff at their site to maintain full and accurate records of CS Energy business activities. In doing so, they will comply with policies, procedures and guidelines issued by the Records Manager.

Under the guidance of the Records Manager, they are responsible for –

- Ensuring that CS Energy business records are retained for the minimum periods in accordance with mandated Retention and Disposal Schedules.
- Ensuring that archive storage environments are secure and free of insects, rodents and dampness
- Carrying out regular audits of physical archive records and their retention time frames
- Processing disposal requests for physical archive records in line with information contained in:
 - [B/D/12/12861](#) - CS-DRM-01 - Retention and Disposal - Destruction of Physical Records

3.4 Management

Management have a responsibility to ensure that they actively encourage and support their work areas to keep full and accurate records of CS Energy business activities. They are responsible for ensuring that records are retained in appropriate storage locations for minimum time frames outlined in mandated Retention and Disposal Schedules or for as long as they are required for legal, financial, audit, historical or reference purposes.

3.5 Employees, Contractors and Consultants

Employees, Contractors and Consultants have a responsibility to ensure that they keep full and accurate records of CS Energy business activities. They are responsible for ensuring that records are retained in appropriate storage locations for minimum time frames outlined in mandated Retention and Disposal Schedules or for as long as they are required for legal, financial, audit, historical or reference purposes.

4 ACTIONS

All areas within CS Energy should undertake an assessment of their physical records regardless of format on a yearly basis. This process involves determining which records are no longer actively used within the area and arranging for on-site archival storage, off-site archival storage, or destruction, depending on legal retention requirements.

Records should not be dumped in cabinets or storerooms without being managed, identified and registered appropriately. 'Out of sight - out of mind' is not an acceptable approach to records management.

A disorganised approach to document and records management leads to:

- vast backlogs of records no-one knows about, some of which may be important
- inefficient and inaccurate retrieval of records
- risk of damage to vital records due to poor storage conditions
- cost to CS Energy in potential litigation
- increased storage requirements, and
- increased resource expenditure when the records need to be re-assessed and identified.

4.1 Retention Periods

Business records must be retained and / or disposed of in accordance with the approved Retention and Disposal Schedules. Retention periods are dependent on the type of record and their retention can vary from 3 months to 7 years to 25 years to permanent.

Consider the following to determine retention requirements –

- Minimum retention periods as listed in the Retention and Disposal Schedules approved by the State Archivist
- Records that are required to be retained permanently as shown in the Retention and Disposal Schedules
- Records that are required to be retained for any legal reason
- Records that are required to be retained for longer periods under other legislation
- Records that are required to be retained that are perceived as having significant historical or future research value.
- Records that are required to be retained as vital records to ensure that CS Energy can continue to operate in the event of a disaster. Vital records, for legal, regulatory or operational reasons, cannot be destroyed without impairing the organisation's ability to conduct business (e.g. – signed contracts, policies, procedures, etc).

There are some records that are covered by more than one retention period. In these cases, the longest retention period applies. Records that are identified as duplicates may be destroyed when no longer required.

Business records must be retained and/or disposed of in accordance within Retention and Disposal Schedules approved by the State Archivist. Retention periods outlined in the schedules are the minimum periods for which records must be maintained. However, there is no requirement for records to be destroyed at the end of the minimum retention period if identified and required by the organisation for a longer period. CS Energy is responsible for complying with two Retention and Disposal Schedules. These are –

- [B/D/09/15119](#) - QDAN 249 - General Retention and Disposal Schedule
- [B/D/09/15118](#) - QDAN 618 - Energy Sector Retention and Disposal Schedule

Requests for the destruction of any physical records (including archives) must be –

- Checked by an appropriate document and records management officer
- Verified by the appropriate Manager with knowledge of the records
- Endorsed by the appropriate Executive, Site Manager or Legal representative
- Approved by the Records Manager for final disposal

Verification is carried out by areas of the business with appropriate knowledge of the records. Verification and endorsement are not an approval to destroy the records but a confirmation that they are no longer required by the business for legal, financial, audit, historical or reference purposes.

4.2 Short Term Temporary Documents (Ephemeral Documents)

Queensland State Archives allows for the disposal of short term temporary documents, more commonly known in recordkeeping terms as 'ephemeral' documents. Ephemeral documents are items of short term temporary informational value and are defined as those records which are of a trivial nature or of such short-term value that they do not support or contribute to the business function of the organisation. These records are generally only needed for the period of time they are required until their reference ceases, however if there is any uncertainty, the Records Manager should be contacted for advice.

Documents of temporary value include, but are not limited to:

- Drafts (reports, correspondence, etc) that have not been circulated as final drafts or final documents internally or externally
- Spreadsheets used as working drafts that have no further value once the work to which it contributed has been completed.
- Working papers, background notes and references materials used to assist in preparing or completing other documents.
- Press cuttings and other media reports relating to the organisation and its activities
- Copies / Duplicates (used for reference) of business records, the original of which has already been captured in the recordkeeping system
- Superseded Manuals / Instructions (with the exception of 'As Built' or master construction sets)
- Informational Material, including lists of suppliers, catalogues, brochures, etc
- Contact Lists produced by the organisation, other organisations or suppliers
- Letters of appreciation or sympathy with no enduring value
- Documents with little or no administrative, fiscal, legal, evidential, cultural or known historical value.

4.3 What to Archive

Records of any age can be transferred to an archive location, however records sent to an off-site archive location should be inactive; requiring limited or no business use after transfer. Generally, records are transferred to an archive location at the end of the active period of the records. If a file is no longer in use or has not been used for more than 12 months, it should be transferred to an on-site or off-site archive location. When deciding what you can archive from your area, consider the following questions:

- Is the activity finalised? For example, if the records relate to a contract, have all the conditions of the contract been met? If not, the records would be considered current.
- When was the last time you referred to the records? If the activity is finalised, has lapsed or has ceased and you no longer access the folder regularly, the folder is ready for archive storage.
- For personnel files – does the employee still work at CS Energy? If they do, either retain the folders on-site until employment ceases or transfer to an approved off-site storage facility that provides easy and efficient retrieval processes.


4.4 Preparing Records for Archive (On-site Storage)

If records have ceased to be active and are to be stored in an on-site archive location, it is important to ensure the following:

- Relevant matching electronic versions in TRIM of archived physical records are made final.
- Where appropriate, any corresponding electronic folders have been closed in TRIM to ensure that no further records are saved into the folder and the current location changed to suit the physical location. The electronic folder can be alternatively linked to the relevant TRIM Archive Box.
- Date of Closure has been recorded on all physical folders in preparation for archive storage.
- An approved style of physical archive box is used to store the records.

- An archive box list is created (that includes a detailed list of the box contents) and saved into TRIM with a printed copy attached to the lid on the inside of the archive box when sending to off-site storage and a second copy attached to the lid on the outside of the archive box for on-site storage.
- An electronic version of the archive box is created in TRIM by the Records Management Team, applicable site Document Management Officer, TRIM Champion or assigned Administration person.
- All enclosed records must be referenced in the notes of the TRIM Archive Box to reflect those shown on the Archive Box List and the shelf / physical location listed in the metadata under “Physical Storage Location”.
- Once a folder is closed, no documentation can be removed from or added to that folder. If there are multiple copies of a document on the same folder, excess copies can be removed. If a copy has any additional detail or hand-written notations, it is considered a new document and should remain in the folder.

4.4.1 Preparing Archive Boxes prior to On-site Lodgement

- See Records/Document Management staff to obtain an archive box.
- Ensure that box contents all have similar retention time frames (seek advice from document and records management staff if required).
- Complete the Archive Box List (S2023) - [B/D/10/26082](#) and save in TRIM to a team or site folder under the following BCS location –
- Business Classification Scheme (BCS)  INFORMATION SERVICES - RECORDS MANAGEMENT - Archive Management (All Sites)
- Notify Records Management Team, Document Management Officer or designated staff of completed Archive Box List (quote TRIM Record Number).
- Records Management Team, Document Management Officer or designated staff will create a TRIM Archive Box to match the physical Archive Box.
- Records Management Team, Document Management Officer or designated staff will finalise the Archive Box List with the TRIM Box Record Number and Physical Shelf Location.
- Ensure that the Archive Box is taken to the Records Management Team, Library or designated staff for final processing.
- Records Management Team, Document Management Officer or designated staff will print two copies of the Archive Box List and attach one copy to the inside of the box lid and one copy to the outside of the box.
- Archive Box to be placed in the designated On-site physical shelf location listed on the Archive Box List.

4.5 Preparing Records for Archive (Off-site Storage)

If an area does not have any appropriate on-site local storage available for archived records, these records can be sent to CS Energy’s off-site storage provider. To ensure the effective use of our secondary storage agreement; the only records that can be transferred for this type of storage are the following:

- Business records that are no longer required to conduct current business but need to be retained until the retention period expires.



- Permanent records that have continuing / permanent value according to their legal, financial, administrative or historical value as mandated by retention and disposal schedules.
- **NOTE** - We should **not** be storing duplicate records or non-business related documents.

If records have ceased to be active and are to be stored in an off-site archive location, it is important to ensure the following:

- Relevant matching electronic versions of archived records in TRIM are made final.
- If required, any corresponding electronic folders have been closed in TRIM to ensure that no further records are saved into the folder and the current location changed to suit the physical location. The electronic folder can be alternatively linked to the TRIM Archive Box.
- Date of Closure has been recorded on all physical folders in preparation for archiving.
- An approved style of physical archive box is used to store the records.
- An archive box list is created (that includes a detailed list of the box contents) and saved into TRIM with a printed copy attached to the inside of the archive box.
- An electronic version of the archive box is created in TRIM by the Records Management Team, applicable site Document Management Officer, TRIM Champion or assigned Administration person.
- All enclosed records will be referenced in the notes of the TRIM Archive Box to reflect those shown on the Archive Box List and the Off-site storage provider listed in the metadata under “Physical Storage Location”.
- Once a folder is closed, no documentation can be removed from or added to that folder. If there are multiple copies of a document on the same folder, excess copies can be removed. If a copy has any additional detail or hand-written notations, it is considered a new document and should remain in the folder.

4.5.1 Preparing Archive Boxes prior to Off-site Lodgement (ZircoData)


Refer to - [B/D/14/10620](#) - INSTRUCTION - Preparing an Archive Box for Storage

4.6 Information Required for Archive Box Lists

Form Prompt	Form Tip
External Storage Box Number	Number on Iron Mountain Barcode sticker for Off-site storage
CSE Physical Shelf Location	This section is only used for On-site storage and will include a physical shelf location that has been registered in TRIM. These locations can include designated locked storage cupboards allocated to teams or sites that have specific Archive Rooms (e.g. – Callide)
CSE TRIM Box Record Number	When your Archive Box List is completed, contact the Records Management Team (or Document Management Officer) so that the TRIM Archive Box can be created, and the Record Number inserted onto your Archive Box List <u>before</u> printing. For every physical Archive Box stored in official On-site or Off-site locations a TRIM Archive Box is created so that we can easily manage our boxes, track where they are located, when they were lodged and identify who is responsible for them.
Box Owner	It is important that a Division or Team name is added here (NOT a person’s name). A Team name is often more valuable than the name of the larger Division. Our boxes are often in storage for a long period of time and box owners need to be contacted when the box is due for review prior to disposal.

Form Prompt	Form Tip
CS Energy Cost Centre	Division or Team Cost Centre
Box Contents Year Range	Enter the year of the oldest document / item in the box and enter the year of the most recent document / item in the box.
Scheduled Disposal Date	We are legally required to retain our records for the minimum retention period of time as per our two Retention and Disposal Schedules. The time frames to retain records are different depending on the nature of the records, so as much as possible the contents of an archive box should be of a similar retention period. The retention period relates to the legal retention of the records and is not from the date the box was lodged with an offsite storage location (such as Iron Mountain). CS Energy has fallen into the habit of putting 7 years on many archive boxes being sent to Offsite storage. This is often NOT correct and means that we are often paying for the storage of boxes that could have been destroyed years ago OR that should have been legally retained for much longer. Records retained past the due disposal date pose a legal risk to the organisation.
Box Contents	This MUST be a <u>DETAILED</u> list of the contents of the box. This should NOT be a generalised statement (e.g. – Various Reports, General Project Files, Miscellaneous Documents). If we need to retrieve a box from a storage location in which we have thousands of boxes, itemisation of box contents is very important.
Printing the Archive Box List	For archive boxes being stored Off-site (e.g. – Iron Mountain), only one Archive Box List is to be printed and attached to the inside of the box lid. For On-site storage, an additional Archive Box List is to be attached to the outside of the box.

Example –

		ARCHIVE BOX LIST / LABEL	CS Energy Records
EXTERNAL STORAGE BOX NUMBER		CSE PHYSICAL SHELF LOCATION (if Applicable)	CSE TRIM BOX RECORD NUMBER
<i>Enter the Barcode Sticker No</i>		<i>This is only used for Onsite Archives</i>	<i>Records Management will enter the TRIM Box Number</i>
BOX OWNER (Branch / Work Area / Team)		BOX CONTENTS - <u>MUST</u> be listed in detail – 'General' or 'Various' is NOT acceptable (Use Bullet Points)	
<i>Enter the Team Name</i>		<ul style="list-style-type: none"> • <i>List box contents in detail</i> • <i>Give detailed descriptions</i> • <i>Include date or year that each item relates to</i> • <i>Do not use terms such as 'General Project Reports'</i> • <i>Do not use terms such as 'Miscellaneous Plant Records'</i> • <i>Do not use terms such as 'Various Financial Documents'</i> • <i>A detailed list makes it easier if we need to retrieve correct boxes</i> • <i>It allows for accurate reviews when boxes are due for disposal</i> • <i>If you need advice please contact the Records Management Team</i> 	
CS ENERGY COST CENTRE			
<i>Enter Division / Team Cost Centre</i>			
BOX CONTENTS YEAR RANGE			
<i>Oldest Item</i>	- <i>Newest Item</i>		
SCHEDULED DISPOSAL DATE			
<i>Check with Records Management Team for the correct disposal date</i>			
Printed Copy 1 - Inside Box Lid			
Printed Copy 2 - Outside Box Lid (If Required)			
Save Archive Box Label to TRIM BCS :-		INFORMATION SERVICES >> RECORDS MANAGEMENT >> Archive Records (All Sites) >> Work Area	

4.7 Managing the On-site Storage Environment

Conditions of the storage area must be monitored and managed. Records within your area must be stored and managed appropriately. Folders containing confidential information must be kept in a secure storage location with restricted access.

Any local area used for records storage must be:

- free of pests, insects, rodents, etc (e.g. - silverfish, mice, etc)
- free of dampness or leaks that may cause damage to records or mould to develop
- secure from unauthorised access
- monitored to ensure that none of the above conditions develop.

Shelving in a local storage area must be clearly labelled as per the following –

- Units or bays must be sequentially numbered (e.g. – Unit 1, Unit 2 or Bay 4, Bay 5, etc)
- Shelves must be identified alphabetically commencing with “A” at the top shelf (e.g. – Bay 1 Shelf A, Bay 1 Shelf B, etc)

Shelving locations for local storage rooms are created in TRIM and can then be applied to any records registered in TRIM that are located on physical shelves. A request can be sent to the Records Manager to create physical shelves in TRIM for libraries, archive rooms or team storage locations.

Carry out a self-assessment using [B/D/13/20764](#) - Form - S2123 - Archive Records Storage Compliance Assessment and contact the Records Manager if you need any assistance or advice.

5 DEFINITIONS

Term	Definition
Archives	The storage of records that are appropriately classified and arranged which satisfies the business and legal requirements associated with storage and retrieval of noncurrent information. Records may be kept in archives because they are required to be retained in accordance with mandated Retention and Disposal Schedules or are still required for legal, financial, audit, historical or reference purposes.
Appraisal	The process of evaluating records to determine which are to be retained as archives, which are to be kept for specified periods and which will be destroyed.
Business Record	A business record is any form of recorded information, either received or created, that is evidence of the organisation carrying out its legislative, administrative or other responsibilities. Formats can include paper-based or electronic records, including letters, minutes, memoranda, file notes, emails, web pages, maps, photographs, audio or video records and records generated within electronic business systems.
CMC	Crime and Misconduct Commission
Disposal	Any action that changes the circumstances of a record or removes a record from its usual setting. Disposal can include destruction, damage, alteration or transfer of custody or ownership of records.
eDRMs / eDMs	Electronic Document and Records Management System – a tool that manages and maintains electronic and paper records.
Ephemeral Record	Documents and records of short term temporary informational value that are no longer required for reference purposes or have been superseded by more current or accurate information. These may include duplicates of business records, supplier information, manuals and instructions, contact lists, non-business related documents, etc
Inactive Records	Records that are no longer accessed in the normal course of business, but may have a requirement to be kept for a certain period by the organisation. No new documents can be added to an inactive record.
Metadata	Data about data or historical information relating to a document, for example: In TRIM the title, subject, author, and size of a file are metadata relating to a particular record.

Term	Definition
Off-site Storage	Separate facilities located outside of the organisation used for the storage of inactive hard copy records and managed by an independent organisation.
Physical Records	Physical records can include but are not limited to maps, plans, photographs, drawings, videos and paper documents.
QSA	Queensland State Archives
Record	An individual item of recorded information in any format, including data in computer systems, created, received or maintained by an organisation or individual in the transaction of business or the conduct of affairs, and kept as evidence of such activity. Records provide proof of the activities decisions and functions of the organisation, and their identity must be recorded in an approved records management system.
Records Management	<p>Records Management is the governance of all documents and records for the organisation (regardless of format). Unless documents and records are managed efficiently, it is not possible to conduct business, to account for what has happened in the past or to make decisions about the future. Records Management when not managed correctly becomes a risk to the organisation. Records are a vital, corporate asset and are required to -</p> <ul style="list-style-type: none"> • provide evidence of actions and decisions; • support accountability and transparency; • comply with legal and regulatory obligations; • support decision making; and • protect the interests of the organisation, staff and other stakeholders.
Retention and Disposal Schedule	A document that mandates the legal minimum retention time frames before disposal of a record is permitted as approved by the Queensland State Archivist.
Retention Period	The length of time that a record must be maintained and be accessible after the record has been identified as superseded, no longer used, etc. At the expiration of the retention period, a record may be legally disposed of subject to review and approval.
TRIM	The EDRMS used by CS Energy, a software application that enables both physical (paper) and electronic record management.
Vital Record	Any record, regardless of format, containing information that is essential to the operations and / or survival of CS Energy, necessary to re-establish the organisation's legal and financial responsibilities and necessary to preserve its rights and those of its stakeholders. Vital records include any records that are needed to operate the organisation during a disaster.

6 REFERENCES

Reference No	Reference Title	Author
	Public Records Act 2002	Qld Govt
B/D/11/39710	CS Energy Code of Conduct	CS Energy
B/D/09/15119	QDAN 249 - General Retention and Disposal Schedule for Administrative Records (GRDS)	QSA
B/D/09/15118	QDAN 618 - Energy Sector Retention and Disposal Schedule	QSA
B/D/12/12861	Procedure - CS-DRM-01 - Retention and Disposal - Destruction of Physical Records	CS Energy
B/D/12/12615	Form - S2019 - Approval Request for Disposal of Physical or Archive Records	CS Energy

7 RECORDS MANAGEMENT

In order to maintain continual improvement, suitability, safety and effectiveness of the organisation, CS Energy's registered documents will be reviewed on a two-yearly basis or at intervals specified by legislative or regulatory requirements. Review of controlled documents should occur where it has been identified that there are changes in technology, legislation, standards, regulation or where experience identifies the need for alteration to the content. Registered documents should also be reviewed following an incident, change management process, modification or where directed as part of a risk assessment process. A 'review' can simply mean that it has been identified, confirmed and appropriately recorded that no changes are required and that the existing process remains the same.

CS Energy must ensure that records are retained according to accountability, legal, administrative, financial, commercial and operational requirements and expectations. In compliance with records retention and disposal, all documentation created in relation to CS Energy business must be retained in line with minimum retention periods as detailed in legal retention and disposal schedules.