



Procedure 2.07 - Recordkeeping

1. Application

This procedure applies to all NQBP Personnel.

2. Procedure

2.1. Records Management Background

Records Management is the effective management of explicit knowledge. The governance team are responsible for the provision of records management services and infrastructure that provides efficient and effective storage, disposal, protection and retrieval of information for any authorised purpose.

2.2. Recordkeeping Systems

The current official recordkeeping system of NQBP is HP RM8. HP RM8 is the electronic Document and Record Management System (eDRMS) where all business records, transactions and the corporate memory are to be captured, stored and maintained. All paper-based Records received by NQBP from an external source are to be digitally imaged and saved into RM8.

All non-permanent records are compliantly digitized in accordance with our recordkeeping procedure are put into RM8. SharePoint 2013 (SP13) is our internal web front end. RM8 is used in conjunction with SP13 to capture NQBP's business records created through collaboration.

Other databases and business systems of NQBP that function outside of RM8 as records capture catalysts include:

- AirWatch – Enterprise Mobility Device Management System
- Navision – Financial and Asset Management System
- RMSS – Risk Management System
- SharePoint 2013 – Enterprise Collaboration, Web Application Framework and Platform

These systems meet the minimum requirements of this policy.

Recordkeeping is not to be maintained in NQBP network drives or external storage devices e.g. USB sticks, compact discs, external hard drives etc. While these storage tools support administrative use, they do not constitute recordkeeping environments that will protect corporate intellectual property and the integrity, authenticity and recordkeeping compliance.

2.3. What are Records?

A Record is any deliverable that is both created and received by NQBP that:

- documents a business decision;
- documents advice given or received in the course of business; or
- is required by legislation or another regulatory instrument to be kept as evidence of a business transaction.

Records can come in many formats including:

- Paper, Microfilm, electronic;
- Documents or files, maps, plans, drawings, photographs;

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- Data from business systems, word-processed documents, emails;
- Computer files on a floppy or hard disk;
- Audio media such as cassettes;
- Visual media such as video tapes and images; and
- Digital media such as CDs and DVDs (see QSA website for further information).

Ephemeral Records are not required to be kept and are defined as those items that are trivial in nature, or of short term value to NQBP, that do not support or contribute to the business function of NQBP. As an example; pamphlets do not need to be kept.

2.3.1. What records do not need to be kept?

- Personal emails, external Publications, phone messages that are not related to the business, research articles
- External training material
- Duplicate copies
- Emails for information only
- Some drafts

(Further detail is contained the below table)

2.3.2. What records must you keep?

You need to keep a record if it documents official activity and is likely to be required for future reference.

Broad examples include things that:

a. Capture a Decision:

- Policies/procedures
- File notes
- Meeting minutes
- Leave applications
- Discussion papers
- Plans
- Authorisations
- Business cases
- Finance approvals
- Recruitment and selection criteria

b. Capture and action taken:

- Internal/external advice
- Recommendations
- Consultation reports
- Invoices for payment
- Public enquiries
- Requests for feedback
- Instructions
- Research

c. Are created, received or kept to meet legal requirements:

- Records that may be needed for future legal/disciplinary action
- Licences
- Permits
- Contracts

d. Are significant drafts:

- Drafts that show a change in directions
- Drafts submitted at key milestones (e.g. consultation, approval)
- Drafts showing significant feedback or comments
- Drafts of legal agreements.

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2.3.3. Recordkeeping System

NQBP’s current electronic Document Records Management System (eDRMS) is RM8 Version 8.1. SharePoint Version 2013 Workspaces (SP13) are our collaboration and internal web front end platform for accessing information. RM8 is an advanced, compliant recordkeeping system, used to store NQBP’s electronic and physical business records. All NQBP business records are required to be registered and stored within RM8 by licensed users.

No records are to be used or kept on hard-drives or external storage devices including, but not limited to, USB sticks or external hard drives.

These storage devices do not protect the integrity and authenticity of a Record or intellectual property. For more information please refer to the ICT Guideline (RM8 # E14/24097). All staff will be advised of their mandatory recordkeeping requirements and responsibilities during their induction by records officers and ongoing RM8 and Recordkeeping education and training.

2.3.4. Records Management Inductions and Training

All new starters must undergo a recordkeeping induction, complete with an aptitude quiz, during their probation period. A RM8 End User guide will be provided and accessible to all staff to assist them with using RM8 and administration’ officers are available to assist with any questions or queries.

Compulsory refresher RM8 and recordkeeping training will be conducted periodically throughout each employee’s employment with NQBP to ensure all staff:

- a. Use RM8 effectively;
- b. Comply with NQBP’s recordkeeping regulatory requirements; and
- c. Ensure compliance with the policy and procedure.

2.3.5. Titling in RM8

The title of documents (relates to Letters, Memos, Facsimiles, Reports, etc) registered directly into RM8 should accurately represent the specific contents of that document and provide concise information that will allow those documents to be easily identified and located. The below outlines what must be contained when titling a record (Note: Titling of Board Agenda Items will remain unchanged and for the titling of incoming and outgoing correspondence please refer to sections 3.2.7 and 3.2.8):

Staff must diligently apply the below particulars when declaring a record.

- 1. The type of document (i.e. Email, Letter, Report, etc.);
- 2. The author and addressee of the document; and
- 3. The Title of the document
- 4. The DAY MONTH YEAR sighted on the document.

* The date when registered into TRIM is automatically generated

The below table shows examples of correct and incorrect titling standards NQBP uses in RM8.

✓	Letter - Company X to Company Y – Port – Response regarding Matter – 07 September 2012
✓	Email – Sender to Addressee – Port – Activity – 07 September 2012
✗	Letter for Legal Firm Advice
✗	Letter for Company X November

All NQBP staff are required to adhere to these titling standards and register all their business records into RM8. All terms and titles of the documents should be entered in full, to ensure easy location and retrieval. Abbreviations and Acronyms’ are only allowed if they are listed in NQBP Titling Standards and Approved Abbreviation / Acronym List. Please refer to (RM8# E11/30862).

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2.3.6. Titling in SP13

The title of documents (relates to Letters, Memos, Facsimiles, Reports, etc) created directly in SP13 should accurately represent the specific contextual content of that document and provide concise metadata and information that will allow those documents to be easily identified and retrieved. The below outlines what must be contained when titling a record.

1. Complete the documents metadata with a precise title and assign the correct author(s)¹;
2. Assign the correct content type using metadata tags²;
3. The Title of the document must not:
 - exceed 128 characters (a space = a character)
 - begin or end with a space or full stop, or
 - contain any of these special characters: ~ " # % & * : < > ? / \ { | }

All NQBP staff are required to adhere to these titling standards and register all their business records into RM8. All terms and titles of the documents should be entered in full, to ensure easy location and retrieval. Abbreviations and Acronyms' are only allowed if they are listed in NQBP Titling Standards and Approved Abbreviation / Acronym List. Please refer to RM8# E11/30862.

2.3.7. Registering Emails into RM8

Certain emails constitute a business record and are required to be registered into RM8.

The table below shows who is responsible for registering what type of email.

E-mail Sent by	E-mail Sent to	Action
You	<ul style="list-style-type: none"> • outside of NQBP • another NQBP Officer 	You must save the e-mail
External Contact	You	You must save the e-mail
External Contact	Numerous NQBP staff	First NQBP person on the distribution list (the list of who the e-mail was sent to) must save
Other NQBP Officer	You	Sender needs to save
You	Outside of NQBP	You must save the e-mail
You	Other NQBP Officer	Saved by other NQBP Officer with the original.
NQBP Officer	You	You must save the e-mail with the original

Below is a summary of correct and incorrect email titling standards NQBP uses for registering emails into RM8.

✓	Email – Sender to Addressee – Port – Activity – 07 September 2012
✗	FW: TRIM: FW: TRIM: FW: TRIM: FW: Port - Activity

If you have RM8 links setup in your outlook please ensure you re-title your email before saving it into RM8. Please refer to RM8 # E09/61364.

It is acceptable to record a series or string of email replies in one RM8 document, provided that all relevant emails are captured and the email correspondence occurs within a reasonably temporal timeframe.

¹ * The date when created in SP13 is automatically generated.

² * This can be avoided by using any of NQBP's existing SP13 templates

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2.3.8. Registering Emails into SP13

To register emails into SP13 NQBP uses InMailX. InMailX is an email management solution connecting Outlook to SP13.

Follow the below steps to register emails into SP13.

- Read the email
- Go to Close & File in the message ribbon
- Click on Close & Quick File
- Select Recents
 - Select the SP13 document library the email pertains to (If required complete the prompts).

2.3.9. Registering documents into RM8

Section 3 outlines our digitisation procedure. The governance team will provide staff training in the correct use of record types and how to register them in RM8. All documents must be registered into RM8 under the appropriate record type:

- Emails are to be registered in RM8 under the record type 'email';
- All general documents must be registered under the record type 'document';
- All Incoming correspondence must be scanned and registered as the record type 'Incoming Correspondence'; and
- Outgoing correspondence must be registered under 'Outgoing Correspondence'.

All staff will be provided with training in the correct use of record types within RM8 and will be shown how they register the exact document, including version(s) in RM8.

2.3.10. Registering documents in SP13

Users can either manually register documents into RM8 under the appropriate content type or users can rely on SP13's lifetime management policies to automate the management and relocation into RM8.

Essentially SP13 will only contain our contemporary content and RM8 resides in the back as our compliant centralised repository.

Force Filing

- Documents will be managed by RM8 15 minutes after being created in SP13.
- Documents are relocated to RM8 manually after the project is completed.
 - Once documents and records have been managed or relocated to RM8 all SP13 collaboration features will be disabled.
- SP13 Documents can be archived into RM8 manually (removing the document being displayed in SP13)

RM8 has system polices in place to prevent deduplication.

2.3.11. Incoming Correspondence

All Incoming correspondence must be scanned and registered into RM8. The corporate administrators are responsible for accurate, qualitative scanning of all incoming correspondence that is classified as a business record, and assigning it to either the addressee of the letter or the person(s) whom the letter relates. Section 3 of this procedure outlines our digitisation procedure. The written process is outlined below:

1. The corporate administrator opens the mail (please refer to the corporate administrator manual RM8# E09/17164).

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2. Mail that is identified as a business record is scanned into RM8 to a pending file or the correct file (if known) as document type 'incoming correspondence'.
3. Titling of incoming correspondence is the same as outlined in the titling standards, but has the word 'incoming' in the front, i.e.
Incoming – Letter – Sender to Addressee – Title of Letter – Day Month Year
4. Each scanned document is assigned to either the addressee or subject matter expert (when registering a document as incoming correspondence, RM8 will ask who the document is to be assigned to (refer to RM8# E13/02211).
5. The administration officer writes the RM8 number on the top right hand corner of the physical document as well as the name of the person the document has been assigned (if different from the addressee).
6. The physical document is then:
 - a. If addressed to the CEO or COO – given to the Executive Officer (Brisbane) or Executive Coordinator (Mackay), who will email copies of the document to all relevant parties and advise the CEO or COO if required.
 - b. If requiring signing – be given to the addressee or appropriate parties for actioning.
 - c. Invoices – should always be given to the relevant financial officer for processing (not scanned – they will scan the invoices).
 - d. All remaining documents – placed in the filing trays for sorting and filing.

For a more detailed description of the incoming mail process please refer to the records management manual RM8# E12/07082.

2.3.12. Outgoing Correspondence

All correspondence being sent externally must be registered in RM8. For a detailed description on the outgoing correspondence process please refer to the corporate administrator manual (RM8# E09/17164). All outgoing documents are to be titled the same as outlined in the titling standards, but with the word 'outgoing' in the front.

2.3.13. File Creations

All documents within RM8 are required to be stored in an appropriately titled NQBP file. The records officers and administrative personnel are responsible for creating files for staff as required. Staff requesting files to be created should follow the following steps: -

- a. Staff requesting the file (*parent*) or sub-folder (*child*) are required to provide:
 - i. a full file title (*parent*) (including the function and activity from the Business Classification Scheme);
 - ii. details of the sub-folder (*child*) to be created;
 - iii. the port;
 - iv. any security they wish to be applied to the file;
 - v. if the file is to be physical or electronic; and
 - vi. any additional information they require.
- b. The RM8 power user is to create the file as requested within reasonable time and ask for any additional information from the requestor as required.

2.3.14. Physical vs. Electronic Records

It is a legal requirement under the Public Records Act 2002 and Queensland State Archives Digitisation Disposal Policy, that all permanent records are kept in paper based format until they have been compliantly disposed of under an approved retention schedule. All NQBP staff are required to keep physical permanent records even if an electronic copy of that document is registered into RM8. Staff must not keep duplicates, working copies or draft documents. All electronic documents are to reside in either SP13 or RM8 respectively. Emails

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registered into RM8 must not be printed out unless requested by the Legal team. Please refer to section 2.6.

2.3.15. Security of NQBP Records

It is a legal requirement that all NQBP confidential records remain secure and only accessible to internal staff. RM8 allows for files to be securely locked down to select staff as required to prevent widespread access or leakages. All files are accessible to staff, except for files that are confidential (including Payroll, Human Resources and files that are legal professional privilege). Staff can lock down files, if required, to prevent all staff access. It is the responsibility of the document or file owner and section manager for the security that has been applied to a file or document within RM8. If a staff member requires access to a specific file they need to:

- Get approval from the owner or section manager of the file they require access to; and
- Contact the records management section who will give them access.

As part of the RM8 and recordkeeping awareness training, staff will be shown how to apply security to files.

2.3.16. Deletion of documents within RM8

Documents cannot be deleted from RM8. Staff are to assign any documents they wish to be deleted to the P22 pending file in RM8 and the records officers will periodically move files from this container to a quarantined area within RM8, until they can be compliantly disposed. Any documents requiring deletion, that are confidential, need to email an RM8 link or document number directly to the designated officers who will quarantine it.

2.4. Enterprise Content Management (ECM), social media and documents in ‘the Cloud’

ECM is the creation, storage, distribution, discovery, disposition and management of unstructured content (such as scanned documents, email, reports, images and office documents), and ultimately analyze usage to enable NQBP to deliver relevant contextual content to users where and when they need it. ECM is therefore the overarching framework that records management falls under.

The Corporate Relations team are responsible for the shelf life (not retention) of content, including but not limited to, the NQBP website, static intranet sites, social media (Twitter, Facebook, and LinkedIn). Whilst governance team are responsible for the capture of all business records into RM8. Records / administration officers advise all staff as to the best location for storing enterprise content. All NQBP staff are responsible for maintaining full confidentiality of all the content of the records stored in any location or NQBP approved device, including but not limited to, social media and mobile devices.

Records that are created in any alternative location to RM8 other than SP13, must be registered into RM8.

All staff receive training in identifying what is a business record during their onboarding. SP13 workspace lifetime management policies minimise the risk of not registering business records compliantly.

2.5. Roles and Responsibilities

All staff are responsible for complying with this recordkeeping procedure and related Recordkeeping Policy 2.2. Please refer to RM8 # E14/06190.

2.6. Records Management Processes

2.6.1. Archiving

All NQBP staff are responsible for giving the records officer files, documents, reports or library items that they no longer require in their possession and / or are inactive. Once the files have been given to the records officer they will be stored in the registry for a further 2 years or until the owner of the file has given the records officer permission to archive the file.

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All NQBP physical records that have been inactive for more than 2 years will be archived annually by the records / administration officers. They will:

- a. At the end of each financial year, create a list of inactive files:
 - i. mark them closed within RM8;
 - ii. archive them; and
 - iii. Search for files, by searching within RM8 for files by 'date closed' of more than 2 years.
- b. Will retrieve the files due for archiving and check each retention schedule that has been applied quality assure it is correct and accurate. This will be undertaken by going through each physical file to assess what documentation is contained within and if this matches the RM8 file title.
- c. Once the file has been checked it will be left if accurate or appropriately amended if inaccurate.
- d. A date for destruction, based on the retention schedule, will be given to each file.
- e. Files will need to put into an archive box based on their year for destruction. Once enough files due for destruction for a certain year are ready, an archive box can be created. The full process for how to create the archive box is available through the Records Management Manual RM8 # E12/07082.
- f. Send the Archive Box off-site for storage. Repeat this process until all inactive files have been archived correctly. These files will remain accessible to staff, and can be easily retrieved as required until they have been legally and compliantly disposed. If a staff member requires access to archived records they are to contact a records or administration officer.

2.6.2. Secure Destruction Procedure

No staff are to dispose of any NQBP business records without:

- going through this secure destruction procedure (RM8# E12/05067); and
- consulting with records officers.

It is the responsibility of the records officers to oversee the full destruction process. Staff are able to dispose of any printouts or their working copies of documents by placing them in a shred-x bin (for Brisbane office) and confidential documents bin (for the Mackay office) or by using a shredder. The CEO holds the authorised overarching disposal approval. No records can be disposed without the CEO consent.

If a staff member is unsure if a document can be disposed of, they must consult with a records officer. The destruction procedure outlined below must be adhered to, prior to the disposal of any records.

2.6.2.1. Method

Records will be sentenced under an approved retention and disposal schedule:

- For NQBP Administrative records the current disposal schedule is QDAN 249v.8, approved by the state archivist, 1 September 2016; and
- For NQBP records that have been digitised the current disposal schedule is QDAN 656v.1, approved by the state archivist, 31 March 2014; and
- Functional records (records that are ports specific) are currently sentenced under the ports sector schedule (QDAN 695v.1). Where files overlap, they will be classed as a functional record; and
- Functional records (records that are Maritime and safety sector specific) are currently sentenced under the Maritime sector schedule (QDAN 690v.1). Where files overlap, they will be classed as a functional record; and

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Files that are due for destruction will be identified, by running the retention report in RM8 to bring up files that are due for destruction review. Review the list for accuracy to determine the records that are due for destruction. Remove any files from the list that are permanent. Check the physical file, making sure there are no permanent records contained within the file, and make sure that any original contracts, agreements, leases or other valuable documents are reviewed and scanned prior to the physical destruction taking place. Once, the file has been fully reviewed, and all valuable content removed, the records can be prepared for disposal.

Individual Business / functional area lists need to be generated containing the details of the records due for disposal for that section. This can be achieved by exporting the selected files/records from RM8 into an excel spreadsheet.

All Disposal activities will need to be endorsed by the Business Area Manager, Legal Officer and Right to Information Officer.

No records can be disposed of without final approval of the authorised delegate final consideration for approval or not. A template memorandum is available to record the endorsement and approval process, see RM8 # E10/62343. Attach the list of records to the memorandum. Once the delegate has approved disposal, commence the disposal exercise. Please see the Records Manager for advice about the approval and destruction of records.

2.6.3. Disposal

Disposal of records is conducted by a third party secure document Destruction Company.

- The Brisbane office uses Recall.
- The Mackay office uses JJ Richards. (Please note that all records deemed confidential/sensitive at Mackay office must be shredded prior to being placed in the JJ Richards Secure Destruction bins. Other, non-sensitive records can be placed directly into the bins).

The service contracts held between NQBP with Recall and JJ Richards have stringent requirements. These include:

- NQBP is responsible to ensure that all records are securely stored when transported to the destruction site.
- Once boxes containing files are ready for destruction, the destruction company is to be contacted to arrange for pickup. The company must destroy the records as soon as possible after arrival at the site and a certificate of destruction must be presented to the NQBP officer immediately following destruction (or as soon as practical). Note that this certificate technically transfers custodianship and responsibility for the records to the disposal company, therefore the company must be reputable and compliant in their destruction processes.
- Paper records should be shredded and pulped, or if these options are not available, burnt in an industrial incinerator.

Records are not to be buried or placed in industrial bins, general collection rubbish bins or other unauthorised storage containers.

- If shredding is undertaken at NQBP, a file note is to be drafted to document the destruction process. Place the file note onto the 'Destroyed Records' file with the approving memorandum and list of records.

2.6.4. Documentation

Collated and scan the following paperwork into one document and file into the Destruction Log RM8# IS/027/00001:

- Contents list of files contained within each box (conducted by the Records Manager);

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- Signed Internal Disposal Approval Memorandum (including index) for the files;
 - Certificate of Destruction from the destruction company; and
 - The original paperwork is to be placed into the physical file.
- * The destruction log is a permanent record.

All files that have been destroyed must be placed into the Destruction Log so that a Comprehensive and searchable Index can be maintained on an on-going basis.

Update all the metadata in RM8 For all records destroyed:

- Change the Disposition to Destroyed; and
- Check the Date Destroyed is the actual date the service provider destroyed the records.

2.6.5. Secure Storage of Vital Records

There are certain vital records that are stored on-site in the Fireproof Safe – located in the Brisbane and Mackay Offices. These vital records include Contracts, original Bank Guarantees, signed contractual arrangements, agreements, deeds, leases, licenses, and other property arrangements (e.g. Permits) (including amendments and corrections). The processes outlined below are to be adhered to, so the records are secure, accessible and NQBP are keeping them in compliance with all current government legislative requirements.

2.6.5.1. Depositing

The following steps are to be followed when depositing records:

Following signing of the records, the original documents must be scanned into RM8 and categorised to their applicable parent file within 5 working days. The original hard copies are to be delivered to either the records officers or the corporate administrator (Records/IT/Risk) with the RM8 No. and file no. noted on the front page of the document. The records officers / administration officer is to prioritise this task and record into the relevant 'secure document register' for where the documents will be stored. Please refer to RM8# E11/39617

The following details:

- File Number;
- HP RM8 document number;
- Date of document (if a date is not clearly profiled, record the date the documents were signed) and date of expiry (e.g. contract expiry date, agreement completion date, etc.); and
- Concise description of the document.

In RM8, the Records Officers / administration officer is to change the assignee of the 'document' to its actual physical location:

- Safe – Brisbane Corporate Office

Enter a note into the 'Notes' field of the document the name of the relevant contact officer, i.e. either the records' Officer or corporate administrator (whichever is applicable) as the contactable officer as well as its physical location in the safe room (i.e. Cabinet 1 Shelf 1). The electronic copy in RM8 is to then be related to its location file. Each location in the safe room has a file made up in RM8 so end users know exactly where the original document is located (i.e. S15/10 Cabinet Two – Shelf Three). The Records Officer / administration officer is to place the Records into a manila folder, generate a label from RM8 containing the File number and RM8 document number/s, and place the label onto the front of the manila folder (top right

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hand corner). The manila folder containing the hard copies is to be filed into the safe in File Number order (sequential).

2.6.5.2. Access

Entry into the Fireproof Safe in the Brisbane Office is restricted only to authorised personnel. These authorised personnel include:

- Company Secretariat / Governance / CEO departments
 - CEO
 - All Administration officers
- Finance Section
 - Finance Officer’s
 - Finance Manager
 - Senior Payroll Officer
- ICT
 - Cheif Information Officer
 - Senior Records Officer
- Property
 - Property Manager

Entry into the strongroom in the Mackay Office is restricted only to authorised personnel. These authorised personnel include:

- All Corporate Assistants
- Property Department Personnel
- Finance Department Personnel
- Records Department Personnel
- Planning Department Personnel

2.6.5.3. Retrieval

This retrieval process is to be utilised only if access to the scanned Records contained within RM8 is not sufficient. Where an officer requires ‘sighting’ of the originals or copies, an email request is to be sent to the records officer / Administration officer or an alternate authorised access officer.

Where an officer requires the original records to be removed from the safe hold, a ‘Secure Document Release’ form (RM8# E07/02025) is to be completed, and must include a valid reason for the removal. The form must be signed by an officer listed below prior to any Records being removed from the safe:

- Chief Executive Officer;
- Chief Operating Officer;
- Chief Financial Officer; or
- Company Secretary/General Counsel

NOTE - Where originals are requested, the requestor will only be provided with a copies of the Record, unless required for legitimate purposes as disclosed within the ‘Secure Document Release’ form.

If approval is granted for the removal of original Records, the must be communicated clearly to the records’ officer / corporate administrator (Records/IT/Risk), who will:

- Scan the form into RM8 folder IS/022/00022
- Make and retain a copy of the record/s
- Update the register on the status
- Change the assignee for that record in RM8 to the requesting officer;

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- Deliver the record/s to the requesting officer, and
- Monitor the return of the originals (as pre-determined on the Release form).

Only the records' officer / administration officers) or other authorised officer(s) is to retrieve the record from the safe hold in order to process the request (if approved granted in accordance with above).

2.6.5.4. Security

Adherence to this procedure will ensure appropriate security measures are in place in relation to Records.

The Records Manager will audit security on a regular basis and report findings to the leadership when required.

2.7. Digitisation Procedure

Digitisation of records is the conversion of physical records into electronic. A large portion of records are born digital (i.e. word, excel, emails). NQBP continues to receive physical formatted records.

As NQBP transitions towards being paperless it is important that all digitised records, including technologies such as social, mobile and portals are captured compliantly in RM8. Enterprise collaboration drives digital transformation.

This procedure outlines how we'll digitise with the intent to reduce the volume of physical records being sent, received, shared and stored.

2.7.1. Records in digital format

Physical temporary records identified in an approved retention and disposal schedule can be compliantly digitised, quality assured and disposed of under the digitisation retention schedule 656v1.

For physical temporary records to be compliantly digitised and disposed they must meet the following criteria:

- The physical records must be scanned into digital format and be a full and accurate copy of the physical record and verified by senior administration or records staff,
- This digital copy must be stored in the RM8, and
- Disposal of the physical record must be approved by the authorised delegate and a records disposal form must be completed prior to disposition.

To dispose these physical temporary records, staff must follow the disposal procedure as outlined in section 2.6.2.

For permanent records, contracts, vital records or records that are born digital the procedure is outlined below.

Physical permanent records, those records that are deemed permanent under an approved retention and disposal schedule will be retained in both electronic and physical format. This is due to technology redundancy, information integrity and sovereignty.

Contracts and vital records, those records that are not permanent but require written signature(s) are legally binding agreements between two or more parties, must be kept in both electronic and physical format. The original signed record is to be given to records staff for provisioning as outlined in section 2.6.3.

Records created digitally do not require printing or to be kept in physical format. Some examples include emails, electronic documents, and records that do not require a written signature.

To digitise physical records, please follow the instructions outlined on the following pages.

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2.7.2. Digitising Physical Documents

All physical documents are required to be scanned and kept electronically in RM8 as an exact replica of their physical form. The specifications are:

- All documents without images must be scanned at a minimum 300dpi in black and white,
- All documents with colour images must be scanned in at a minimum 300dpi in autocolour,
- Images (i.e. Maps and Photographs) must be scanned in at a minimum 300dpi full colour,
- All records must be scanned as pdf.

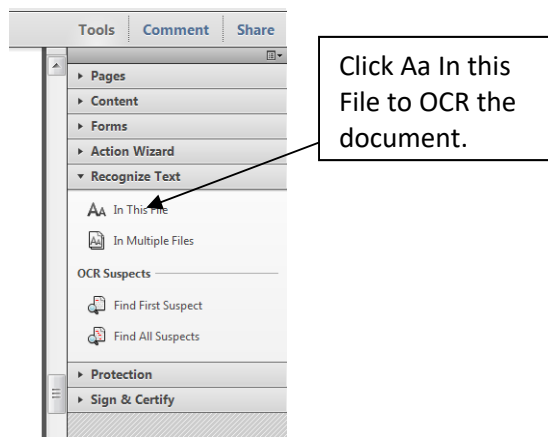
To digitise records that aren't documents please consult with records staff.

2.7.3. OCRing Scanned Documents

All electronic records containing text must be OCR'd prior to being registered into RM8.

To OCR a pdf document:

- Click on **Recognize Text** under **Tools** in Adobe.



- Select **Aa in This File** and click **OK**. With this feature please check the settings and make sure it shows 300dpi.



- Adobe PDF will commence OCRing the document.
- Register it into RM8.

Please refer to the process map in section 2.7.8.

2.7.4. Registering Digitised Records

Once records have been digitally converted as stipulated above they must be registered into RM8 as stipulated in sections 2.3.4, 2.3.5, 2.3.7, 2.3.8.

2.7.5. Digitisation of Historical Records

All historical records stored offsite do not require digitising. These historical records will be disposed of gradually as their retention period expires.

Records retrieved from offsite storage must be digitised. In this instance the digitised copy must be registered into RM8 prior to sending the physical record(s) back to storage

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2.7.6. Risk Assessment and Auditing

An annual digitisation audit will be conducted by records staff including an analysis of the ratio of historical legacy, permanent and temporary records (E14/07344). This audit will determine what current records are required to be kept in physical format and which can be compliantly disposed.

Records staff will analyse all potential risks associated with digitising records and report that digitally transformed records meet the criteria outlined in Section 3.2. Over time all records will be digitised and this risk assessment and audit constitutes how we will manage our records digitisation transition.

As a quality assurance measure, within one week after digitisation and prior to the destruction of any temporary or permanent physical records the records officers will compare both to verify exactness. Records staff must re-digitise any discrepancies in the first instance and provide one-on-one training to the person(s) that digitised the record.

2.7.7. Responsibilities

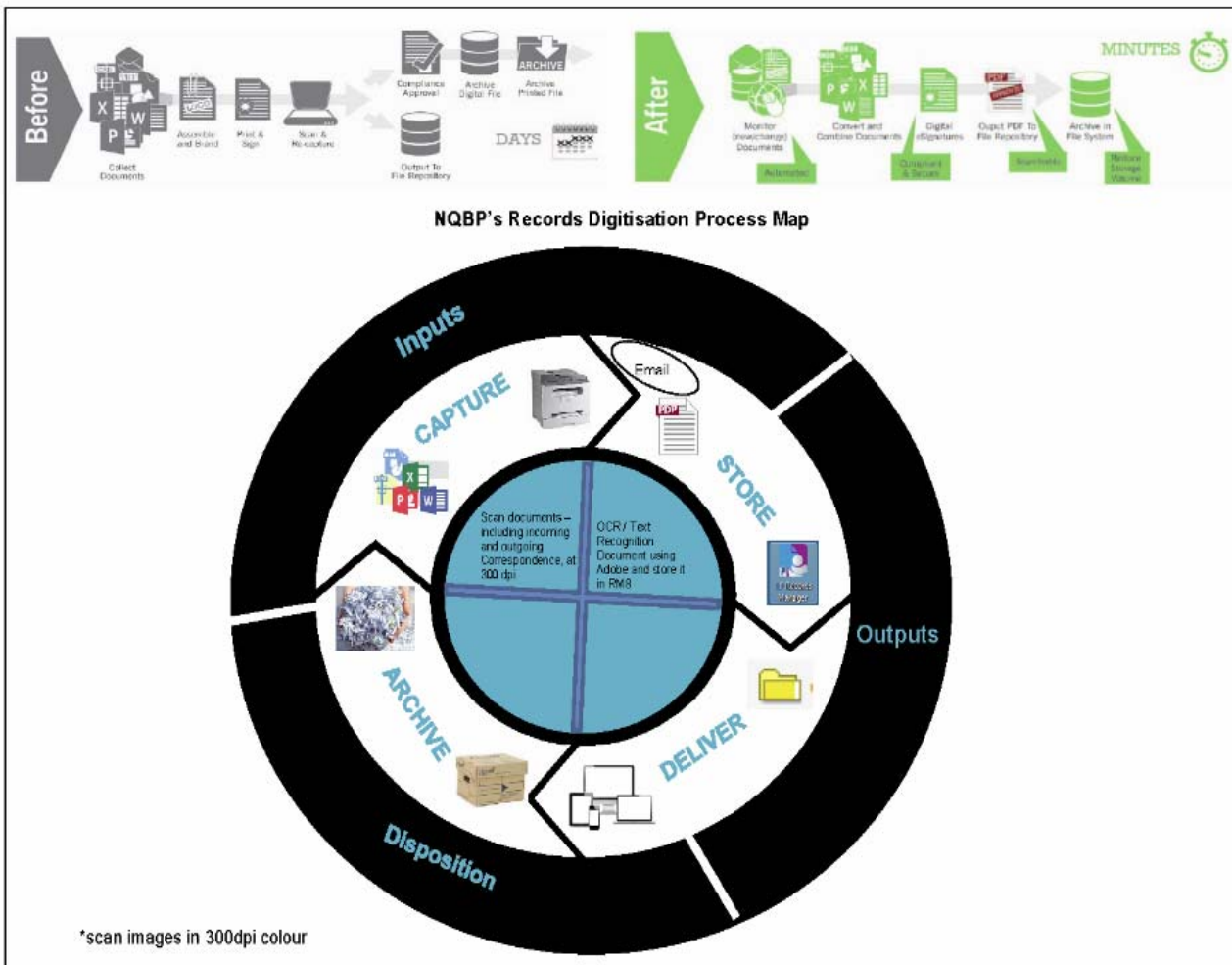
All directors, employees and Contractors of NQBP are required to comply with all recordkeeping legislation and standards, this Recordkeeping policy and its supporting procedure.

This section also specifically outlines who is responsible for digitisation. For a comprehensive list of recordkeeping responsibilities please refer to RM8# E14/06190.

CEO	Responsible for ensuring NQBP abides by the recordkeeping provisions of the Public Records Act 2002 and associated Information Standards through the application of this Recordkeeping Policy. Digitisation Procedure The CEO must provide official approval of this digitisation procedure and sign off prior to the commencement of disposition.
SLG/LG	Responsible for ensuring recordkeeping policy and procedures and practices are known and adhered to by themselves and staff under their area of responsibility.
All Staff	Digitisation Procedure Responsible for ensuring any records they create and / or receive are scanned and available electronically and that they do not discard any physical records without following these procedures and consulting with the records staff.
Administration Staff	In the context of their administrative support roles, are required to provide administrative assistance to managers and persons within their business area to ensure that they are complying with their recordkeeping obligations. Digitisation Procedure Responsible for ensuring any records they create and are received by incoming correspondence are scanned and available to all staff in RM8.
ICT and Governance Staff	Responsible for ensuring that the integrity and security of the records contained within the recordkeeping system are maintained and that the system is managed appropriately including business continuity and disaster recovery. Digitisation Procedure Responsible for ensuring and promoting sound recordkeeping and digitisation of all records making sure they are easily accessible whilst being fully compliant with all recordkeeping and information management legislation and knowledge management standard.

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2.7.8. Process map



3. Compliance Policy, Procedure, Standard and Legislative Framework

NQBP is a Government Owned Corporation and a port authority and is required to comply with its own policies, prescribed applicable legislation and State Government policies and procedures. This policy should be read in conjunction with:

- a. Policy 2 – Compliance
- b. NQBP Records Management Manual
- c. NQBP Corporate Administrator Manual
- d. *Public Records Act 2002*
- e. Information standard 18: information security³
- f. Information standard 31: retention and disposal of public records
- g. Information standard 34: metadata
- h. Information standard 40: recordkeeping
- i. QSA storage standards for Queensland public records

4. Procedure Review Date

This procedure should be reviewed by 31 October 2019.

³ For a comprehensive list of QSA requirements see <http://www.archives.qld.gov.au/Recordkeeping/Pages/Publications.aspx#LegStandards>

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5. Definitions

Contractors: means contractors or consultants engaged by NQBP under a personal services consultancy agreement or other similar arrangements.

NQBP: means North Queensland Bulk Ports Corporation Limited ACN 136 880 128.

NQBP Employee: means employees and Contractors of NQBP but does not include NQBP directors.

NQBP Personnel: means NQBP officers (for example NQBP directors) and NQBP Employees.

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