

Records Management Policy

// About this document

Policy purpose:

The purpose of this Records management policy is to ensure that full and accurate records of all activities and decisions are retained, changed or disposed of appropriately, and in accordance with relevant legislation. This policy will assist Plan2go in meeting its obligations for accountability.

Policy authority:

This policy has been authorised by the Captain in Charge and is available to all staff. It has been developed in consultation with staff and will be revised on a regular basis.

Policy application:

All crew must comply with this policy in their conduct of official business for Plan2go. This policy applies to records in all formats, including electronic records.

Expected update frequency:

Yearly

Policy location:

<http://plan2go.nctafe.edu.au/assets/document-library/Crew-Folders/Cabin-Crew/Records-Management/Records-Management-Policy.pdf>

// Document control

Version	Description	Date modified	Author
1.0	Initial policy written	4/3/2009	Ellen Foster Tobias Ukestock
1.1	Annual review of policy	5/14/2010	Tobias Ukestock Julia Stickler
2.0	Template and branding update	7/19/2011	Ria Clarkson
2.1	Review of policy	3/7/2013	Julia Stickler
2.2	Annual review of policy	7/4/2014	Julia Stickler

// Introduction

Records are a vital asset to:

- Facilitate information accessibility and enhance business by supporting project delivery, management and administration
- Deliver customer services in an efficient, fair and equitable manner
- Provide evidence of actions and decisions and precedents for future decision making and protect the rights and interests of our customers and crew.

1. Records management system

1.1 Policy objectives

A records management system is a planned, coordinated approach to managing records, folders, files and other documents. The Plan2go records management system seeks to ensure that:

- We have the records we need to support and enhance ongoing business and customer service, meet accountability requirements and community expectations
- Only those records requiring storage are kept
- Records are stored as cost effectively as possible with all crew encouraged to store files and folders electronic whenever possible
- Records are managed efficiently and can be easily accessed and used for as long as they are required
- Confidentiality of sensitive records (e.g. job applications, crew personnel files, customer details) are stored appropriately and confidentiality is assured for both our customers and crew members
- When no longer required, records are disposed of in a timely, appropriate and efficient manner according to file retention guidelines

1.2 Definitions

Term	Definition
Records	Records is a term that encompasses all folders, files and documents deemed essential to store and manage.
Folder	A folder is where files are stored. It can be either electronic or physical. All folders in the records management system need to be numbered.
File	A file is a single document that is generated by Plan2go. It can be electronic or physical. All files need to be numbered and filed into a folder.
Other documents	Any other document (e.g. Incoming correspondence, flyers, photos, etc.).
Physical	An actual hard copy – i.e. paper or cardboard – you can touch it!
Electronic	Computer generated folder or file.

Table 1 – Definitions used in this records management policy and within Plan2go business operations



1.3 What needs to be stored?

Plan2go crew should ensure that they create official records of all decisions and actions made in the course of their official business. These records need to be stored in our central records management system by our Cabin Crew and tracked in the Folder and file register.

Things that should be stored in the Records management system include:

- Contracts and all associated documentation and correspondence, variations, quality checks, emails, WBS, financials, etc.
- Project management documentation related to any Plan2go project
- Human resource documentation such as job applications, interview panel decisions, letters, etc.
- Personnel documentation such as record of training, qualifications, any injuries or issues, induction, etc.
- Meeting minutes, agendas, action plans
- Audit documentation
- Policy documentation and records associated with any policy procedures (e.g. Folder request form, travel request form, etc.)
- WHS paperwork, injury management records, safe work method statements, risk assessments, etc.
- Tender documentation
- Financial records including tax, BAS, bank statements, asset registers
- Annual reports (e.g. sustainability report, financial report)
- Customer data, records of testimonials and complaints

Refer to Appendix A – Records retention matrix to see more records that should be kept and for how long.

Crew members are able to create and keep their own working folders. Examples of files that do not need to be stored centrally in the Records management system include:

- Personal correspondence
- Files or correspondence that does not add any information to the folder (i.e. save and store the LAST email in a conversation that contains all of the correspondence, not EVERY email)
- Pamphlets or flyers that are advertising unless it is a service or business you want to save for future reference (but there's always the internet!)



1.4 Associated files

The following files are linked to this Records management policy and will be referred to throughout the policy and procedures:

- **Folder and file register** – an Excel spreadsheet that monitors and tracks the movement and storage of all files and folders. Only Cabin Crew and the CEO are able to edit the register. All other Crew can (and will need to!) access the spreadsheet regularly to find files, folders and work out what folder number a file will need to go into, etc.
- **Folder movement sheet** – Appendix B – this sheet is placed inside a physical folder to keep track of where it has been. The Folder and file register will track the current location of a folder.
- **Folder closed sheet** – Appendix C – this sheet is printed and placed in the front of a physical folder when the folder is CLOSED.
- **Create new folder form** – Appendix D – this form is used when you want to request that a new folder (electronic or physical) be created in the central filing system.
- **Folder request form** – Appendix E – this form is used when you want to request a physical folder from the central filing system.
- **Request folder closure form** – Appendix F – this form is used when you want to request that a physical or electronic folder be closed or disposed of. A closed record can have no more files added to it but can still be viewed or accessed. A disposed record will be permanently deleted or destroyed.

You will find the forms available separately as templates so they can be filled in electronically.

2. Procedures

To help in promoting the responsible creation and management of records at Plan2go we have outlined the procedures to be followed. If you have any difficulty interpreting or following this policy and associated procedures, please contact your Manager or the Leader Cabin Crew.

2.1 Folder and file storage

Folders and files at Plan2go can be stored either electronically or physically. The preference is for electronic generation and storage of files and folders to save storage space, reduce resource usage and save time. It is understood there are some files and folders that cannot be stored electronically.



2.1.1 PHYSICAL FOLDER AND FILE STORAGE

Plan2go has a file compactus to store physical folders in. This compactus remains locked and is only accessible by the Cabin Crew.

Some folders that are on the Folder and file register are NOT stored in the compactus. These are:

- Folders 2.B.1. Current employee records. These are store in a locked cabinet in the CEO office
- Folders 5.A.1. Current customers. These are stored in the Leader Customer Experience's office so as to be accessible at all hours by the Customer Experience Crew.

Storage is managed so that records can be quickly retrieved. Files and folders must be numbered by the Cabin Crew before they are placed into storage according to the Folder numbering key (see 2.1.4 and Appendix G). Folders are A4 lever arch folders and should be stored in alpha-numerical sequence as outlined in Appendix B.

The storage area is a controlled environment which minimises the deterioration and damage of the records to prevent loss.

2.1.2 ELECTRONIC FOLDER AND FILE STORAGE

The Cabin Crew have established and maintain an electronic records management system for the electronic storage of records.

Files and folders must be numbered by the Cabin Crew before they are placed into electronic storage according to the Folder numbering key (see 2.1.4 and Appendix G).

All GoTo Crew can access the electronic storage system but you will find you only have read only access unless you are the CEO or one of the Cabin Crew. You will not be able to access the Employee and Customer electronic folders as listed in 2.1.1 without the relevant permissions. You will have full access rights to your own crew folder and files. It is only the records management system that is read only to ensure the integrity, longevity and correct management of electronically stored files.

If vital records are stored on removable media (e.g. USB flash drives, external hard drives, CD-ROMs), copies should be made and sent to an offsite data storage location.

The entire electronic records storage system must be backed up and stored appropriately by the Cabin Crew. This is to occur every day the office is open.

Contact one of the Cabin crew members who will assist you in locating the share drive so you can place a shortcut on your desktop.



2.1.3 THE FOLDER AND FILE REGISTER

The Folder and file register is an Excel spreadsheet that monitors and tracks the movement and storage of all files and folders.

Only Cabin Crew and the CEO are able to edit the register.

All other crew can (and will need to!) access and view the spreadsheet regularly to find files, folders and work out what folder number a file will need to go into, etc.

The Folder and file register can be found at:

<http://plan2go.nctafe.edu.au/assets/document-library/Crew-Folders/Cabin-Crew/Records-Management/Folder-and-File-Register.xlsx>

2.1.4 FOLDER AND FILE NUMBERING SYSTEM

Folders are numbered according to the Folder numbering key which can be found in Appendix G and also as a separate tab in the Folder and file register spreadsheet for reference.

New folder requests must be submitted on a Create new folder form (Appendix D) and need to be approved and set up by the Cabin Crew. New folders requiring a number will be allocated a number by the Cabin Crew.

Files will be numbered by the Cabin Crew.

2.1.5 ADDING A FILE TO AN EXISTING FOLDER

If you have a file or other document that needs to go on the records management system and you know a suitable folder already exists, please:

1. Name the file correctly according to 2.2 File naming protocols
2. Send or hand the file to the Cabin Crew for appropriate storage

The Cabin Crew will number and store the file and then add it to the Folder and file register for tracking.

2.1.6 REQUESTING A NEW FOLDER BE CREATED

If you have a folder, file or other document that needs to go on the records management system and you need a new folder created, you will need to:

1. Fill in a Create new folder form (Appendix D)
2. Send the form to the Cabin Crew for processing. They will let you know when the folder has been approved and created



3. Send or hand the files to the Cabin Crew for appropriate storage

The Cabin Crew will number and store the file and then add it to the new Folder and file register for tracking.

2.2 File naming protocol

At Plan2go we have an advanced electronic content management system (CMS) in conjunction with this robust and clear records management procedure. There is no longer any need for a complex and detailed file name – we would prefer you name the file something plain and simple that is easily recognizable for what it is, for example:

Records Management Policy.pdf

Travel Request Form.dotx

Leave Request Form.dotx

Risk Log.xlsx

When an electronic file is handed over to the Cabin Crew and needs to be stored in the records management system, the file will be allocated a file number. This will be added in at the start of the file name and the file will be entered into the Folder and file register for tracking. You will be able to view the file as per 2.1.2.

Our CMS and Folder and file register record all the important details like who created the file, when and where it is. Even what version it is. There is no need to try and capture this information in the file name anymore.

2.2.1 PROJECT FILE NAMING PROTOCOL

When you are creating files related to a specific project, use a common sense 2-3 letter precursor at the start of your file name so the file can be distinguished for your project. For example, if you are working on a GeoGuides project, once you open up the Risk log template, save it as:

GG Risk Log.xlsx

Your project folders and files will be numbered by the Cabin Crew when they are submitted to the records management system.

2.2.2 FOOTER

Please place the file name in the footer as can be shown in this document.



2.3 Version control

Version control is a system that is useful for tracking and identifying different versions of electronic files that are likely to be revised and redrafted. Previously popular workplace version control systems simply give a number to each version of a file or other document, as can be seen at the front of this and all other policy documents. An example of a version control history can be seen in the table below.

File name	Version status
Strategic Plan V0.1.docx	First draft version
Strategic Plan V0.2.docx	Second draft version
Strategic Plan V1.0.docx	First finalised version. At this stage the file has often been “issued” for consultation (e.g. presented to the customer)
Strategic Plan V1.1.docx	Subsequent amendment to the first “issued” version. These changes are often the result of consultation
Strategic Plan V2.0.docx	This indicates a major revamp. It could be when a file is being reviewed after a period of time, e.g. reviewed a year later for the coming year

Version control systems are useful for creating an audit trail of changes of important documents and for “proving” which document was in force at a particular point in time. This might be crucial in the event of an appeals process. All accountable files should have a version control table added to the front section of the document like the one at the front of this policy.

A separate and complete version of each version increment should be kept for accurate record keeping purposes. In some workplaces, you might even be asked to record the version number and file name in the footer of every document.

Here at Plan2go, our content management system (CMS) automatically takes care of version control for us. When a document is revised and updated, simply save with the same file name and upload to the CMS. It stores and tracks previous versions, when they were changed, by whom and more.

This, in combination with our records management policy and procedures, supported by our Cabin Crew and the Folder and file register, ensures we know where all our files are, how they got there, who created them and when.

2.4 Handling the movement of records

The overriding principles of record management control are:



- Traceability
- Search-ability
- Accessibility
- Accountability

Files and other documents may be coming in to Plan2go from an external source, heading out of Plan2go destined for an external party or moving around internally within the business.

2.4.1 INCOMING FILES AND OTHER DOCUMENTS

Physical files and other documents may arrive at Plan2go via:

- Mail – comes in every week day
- Courier – comes in at unscheduled times
- Carried in by GoTo crew member or visitor

All files and documents received must be stamped with the received date stamp located on the reception desk. Any general reading matter can be simply placed in the staff reading tray.

Any incoming files or other documents deemed important to track must be allocated a file number by the Admin Officer as per 2.1.4 and entered into the Folder and file register before being distributed.

The file can then be distributed to the appropriate Crew Leader and will now be tracked using the register. If physical, please place in the in-tray on the appropriate crew leader's desk. If electronic, please forward to their email in-tray.

The Crew Leader who receives the numbered incoming file needs to:

3. Confirm the file needs to be registered
4. Confirm the folder number is appropriate (i.e. that it belongs in that folder)
5. Return the file when finished with it for placement in the appropriate folder

When the file is returned to the Cabin Crew, the Folder and file register will be updated to reflect the file is now in storage.

2.4.2 OUTGOING FILES AND OTHER DOCUMENTS

When a file has been created that is to be sent out to an external party and is deemed appropriate for storage in the records management system, the crew member who creates the file must:



1. Name the file correctly according to 2.2
2. If an appropriate folder does not exist, the crew member must fill in a Create new folder form (Appendix D) as per 2.1.6
3. Generate a copy of the file. NB. Electronic is preferred
4. Send or hand the file to the Cabin Crew for appropriate storage

2.4.3 INTERNAL FILES AND OTHER DOCUMENTS

Any internal files that require storage must be handled by the relevant crew member in the following way:

1. Name the file correctly according to 2.2
2. If an appropriate folder does not exist, the crew member must fill in a Create new folder form (Appendix D) as per 2.1.6
3. Send or hand the file to the Cabin Crew for appropriate storage

At the end of a project the Project Manager is responsible for handing over all Project records to the Cabin Crew Leader for numbering and storage.

At the end of a recruitment process, all files and other documents are to be handed to the Cabin Crew Leader for numbering and storage.

2.4.4 EMAILS

Important emails can also be saved as an electronic file for record storage. Follow the same procedures outlined in 2.4.1-2.4.3 for the handling of emails for storage.

Some guiding principles for email correspondence include:

- Would you want your email to appear on the front page of the Sydney Morning Herald? Every time you write an email ask yourself this question.
- For important correspondence, consider writing a letter.
- For important emails, always try to copy in someone else from Plan2go who is involved in the issue.
- Make sure the subject title is relevant. If related to a project, always include the project name in the subject title.

Do not forward every email to the Cabin Crew for inclusion in the records management system! Only include those that are critical and essential for properly tracking an issue.



2.4.5 CONVERSATION NOTES

If you take or make an important phone call, try to follow up the conversation with a quick email starting with “As per our telephone conversation today...” and confirming the contents of the phone conversation. This ensures an accurate record of the conversation is recorded and registered. Save the email and forward as per 2.4.4 procedures.

If an email is not appropriate, it is good practice to make a FILE NOTE. Make some notations about the phone conversation and then add this file note to the record management system according to 2.4.3.

2.5 Accessing folders and files

It is important that Crew Members can easily access the folders and files they need to when they need to but it is also important that we retain an accountable and accurate records management system. If a file has been entered into the records management system that means it has been deemed important enough to be tracked and monitored so please appreciate this if there is a delay in processing any of your folder requests.

2.5.1 ACCESSING PHYSICAL FOLDERS AND FILES

As outlined in 2.1.1, Plan2go has a file compactus to store physical folders in. This compactus remains locked and is only accessible by the Cabin Crew.

Files and folders have been numbered by the Cabin Crew before they were placed into storage and details are in the Folder and file register, which all crew members have access to.

To request a folder from the compactus, complete a Folder request form (Appendix E) and send it to the Cabin Crew.

Files are NOT to be removed from folders once they are placed there. If you only need a one page file, you will need to request the ENTIRE folder and keep it together.

The physical folder will contain a Folder movement sheet (Appendix B) which you must update.

The folder will be tracked in the Folder and file register by the Cabin Crew.

2.5.2 ACCESSING ELECTRONIC FOLDERS AND FILES

As outlined in 2.1.2, the Cabin Crew maintain an electronic records management system for the electronic storage of records. Files and folders have been numbered by the Cabin Crew before they were placed into storage.

All GoTo Crew can access the electronic storage system but you will find you only have read



only access unless you are the CEO or one of the Cabin Crew. You can save, copy, print files as required but the source file and folder will remain intact and unchanged.

You will not be able to access the Employee and Customer electronic folders as listed in 2.1.1 without the relevant permissions.

2.6 Closing folders

A closed folder can still be accessed and viewed but no further files or other documents can be added to it. This is relevant for both physical AND electronic folders.

Often at the end of a project or recruitment process a Crew Leader may request a folder be closed. Fill in the Request folder closure form (Appendix F).

The Cabin Crew will process the form and:

- For a physical folder, place a Folder closed sheet (Appendix C) in the front of the folder
- For an electronic folder they will “lock” the folder so nothing can be added to it but the contents of the folder can still be viewed.

The folder closure will be noted in the Folder and file register by the Cabin Crew.

2.7 Disposing of folders

A disposed folder will be removed and all files and other documents will be destroyed appropriately depending on the contents (e.g. recycled or shredded and then recycled).

All records defined by Plan2go as important to create and record in the records management system are tracked using the Folder and file register so they can be managed appropriately. But we do not need to keep every record forever.

There are guidelines for what records should be retained and for how long before they can be disposed of. The Records retention matrix in Appendix A provides guidelines for the Cabin Crew about what needs to be kept and for how long.



Generally the disposal of records schedule will be monitored and maintained by the Cabin Crew but in the event of a Crew Leader needing to request the disposal of a folder the Request folder closure form (Appendix F) can be used.

When a folder is disposed of this will be noted in the Folder and file register by the Cabin Crew.

3. Responsibilities

3.1 Leader Cabin Crew

The Leader Cabin Crew is responsible for:

- Monitoring compliance with the Records management policy
- Making recommendations for improvement or modifications of practice
- The overall management of the Records management policy and system
- Designing and advising on recordkeeping systems
- Managing the Folder and file register
- Monitoring and following the Records retention matrix (Appendix A) and disposal schedule
- Authorising the disposal of records in liaison with the relevant manager
- Coordinating a records management training program
- Liaising with appropriate external consultants regarding counter disaster planning for electronic records
- Ensuring the records remain safe, secure and intact
- Ensuring records are easily accessible and quickly retrieved for GoTo crew when requested
- Setting up an off-site electronic back up system
- Ensuring the back up of the electronic Plan2go folders every working day
- Deploying organisational templates



3.2 Admin Officers

The Admin Officers are responsible for:

- Assisting the Leader Cabin Crew with the tasks listed in 3.1
- Allocating file numbers to any incoming files or other documents judged as necessary to record in the Records management system
- Maintaining the Folder and file register
- Processing folder requests as a high priority upon receipt of a correctly filled in Folder request form

3.3 All GoTo Crew

All GoTo Crew are responsible for filling in the appropriate forms and associated sheets to ensure the records management system functions effectively.

The Crew Leader who receives a numbered incoming file is responsible for confirming the file needs to be registered and sending it back for placement in a folder when they have finished with the file.

3.4 Project Manager

The Project Manager is responsible for the management of all project records until handed over to the Leader Cabin Crew at the completion of the project.

3.5 Panel Convenor

The Panel Convenor is responsible for the management of all recruitment records until handed over the Leader Cabin Crew at the completion of recruitment.



Appendix A – Records retention matrix

Subject	Records	Minimum retention time
Contract administration	Contracts, variations, correspondence relating to customers, consultants and authorities	7 years after project completion
Project subcontract administration	Engagement of subcontractors and suppliers, claims and variations. Subcontractor insurance policies	7 years after project completion
Audits – Internal (including quality, WHS, IR, environmental)	Audit reports, findings and recommendations, rectification actions	3 years
Audits – customers	Audit reports and findings, rectification actions	3 years
Personnel training and induction	Minutes of meetings, personnel qualifications, training records, letters of appointment, letters of dismissal, performance reviews, site inductions	Site inductions – 3 years Plan2go Crew – 7 years
Management meetings	Minutes and issued memos/emails	3 years
Project meetings and site meetings	Minutes, follow up actions, site instructions and associated project control documents (scope, plans etc.). Issues registers	7 years after project completion
Inspection and testing	Inspection and test reports, delivery dockets, safety inspections, permits to work	7 years after project completion
Non compliance	Non-conformance reports, non-conformance register	7 years after project completion
Review of tenders	Minutes of review meetings and completed tenders	If successful 3 years
Acceptable subcontractors and suppliers	Completed questionnaires, accreditation certificates and internal assessments	Until removed from approved list of subcontractors/suppliers



Subject	Records	Minimum retention time
Safe work method statements	SWMS, including hazard identification, risk assessments and monitoring safe work procedures	7 years
Incident reporting	Accident or incident investigation reports, register of injuries, reports	7 years after reporting of injury
Maintenance and testing of plant and equipment	Certificates of competency, inspection reports, plant and equipment register, daily plant checklists	7 years
Recruitment files	All documentation relating to recruitment process as per the Staff selection policy	7 years from appointment of successful applicant
WHS	WHS monthly reports	7 years
Financial records	All project financial documents including budgets, payments, invoices, purchase orders	7 years from date of file creation



Appendix B – Folder movement sheet

Folder Movement Sheet

// Document purpose

This sheet is placed inside a physical folder to keep track of where it has been. The Folder and file register will track the current location of a folder.

// Folder details

Folder Name: [Enter name]

Folder Number: [Enter number]

NB. As per the Records management policy, once a file has been placed in a folder, it must not be removed without permission from the Cabin Crew Leader. It all stays together!

// Folder tracker

Date	Action (e.g. taken from compactus; returned to compactus; taken from CEO drawer; taken to my desk, etc.)	By (your name)	Initial

If you write on the last line, please print another Folder movement sheet and place in folder with this one attached behind.



Appendix C – Folder closed sheet

Folder Closed Sheet

// Document purpose

This sheet is printed and placed in the front of a physical folder when the folder is CLOSED.

Please refer to the Records management policy for further details.

This folder is now CLOSED

No more files are to be added to this folder.

Please refer to the Folder and file register for more information or contact one of the Cabin Crew for help.



Appendix D – Create new folder form

Create New Folder

// Document purpose

This form is used to request that a new folder (electronic or physical) be created in the central filing system administered by the Cabin Crew. The Cabin Crew have both a compactus in the office containing physical folders and an electronic central filing system.

Crew Members are able to create and keep their own working folders – this is for the files that must be filed in a folder and stored centrally. The folders and files will then be entered and tracked in the **Folder and file register** (Excel spreadsheet file).

// Crew member details

Name of crew member: [Name]

Date: [Enter date]

Department: Choose your department.

// New folder

Refer to the Records management policy or contact the Cabin Crew for help.

Type of folder requested	<input type="checkbox"/> Electronic <input type="checkbox"/> Physical
Step 1 – Check!	<input type="checkbox"/> Yes, I have checked in the Register that a folder does not already exist that I can put my files in!
Step 2 – Start	You need to select the Leading and Sub categories . Refer to the Folder numbering key which is found in the Register . Leading Category: Choose Leading Category. Sub Category: Click here to enter text.
Step 3 – Third Tier Name	Type here - what should the folder name be?

This form needs to be emailed to julia@plan2go.com.

Please allow 48 hours for processing.



// For Cabin Crew only

You will need to consult the Folder and file register to double check a folder does not already exist and to follow instructions to allocate a new folder number.

CABIN CREW ONLY	
Cabin Crew member:	[Click here to enter your name]
	Date: [Enter date]
	<input type="checkbox"/> A folder does not already exist on the register (double check!)
	<input type="checkbox"/> Leading and Sub Categories are appropriate
	<input type="checkbox"/> Third Tier Name (i.e. Folder name) is appropriate
If not, new name is:	Enter new folder name or type n/a if good to go.
Third Tier No:	Click here to enter new Third Tier No.
	<input type="checkbox"/> New folder has been created (physical or electronic)
	<input type="checkbox"/> New folder has been entered into Folder and file register



Appendix E – Folder request form

Folder Request

// Document purpose

This form is used to request a physical folder from the central filing system which is administered by the Cabin Crew. If you need to consult or copy a file within a folder you will need to request the whole folder using this form as the file is not able to be removed from the folder once it goes in.

The folder will be tracked in the Folder and file register (Excel spreadsheet file) by the Cabin Crew. The physical folder will contain a Folder movement sheet which you must update.

Refer to the Records management policy or contact the Cabin Crew for help.

// Crew member details

Name of crew member: [Name] **Date:** [Enter date]

Department: Choose your department.

Approved by: Click here to enter text.

Signature:

// Folder details

Check the Folder and file register to find the folder number.

Folder Number	Click here to enter text.
Folder Name	Click here to enter text.
Reason for request	Click here to enter text.
When do you plan to return the folder?	Click here to enter a date.

This form needs to be emailed to julia@plan2go.com.

Please allow 48 hours for processing.



// For Cabin Crew only

PROCESSING REQUEST	
Cabin Crew member:	[Click here to enter your name] Date: [Enter date]
	<input type="checkbox"/> Folder approved for release
	<input type="checkbox"/> Folder movement sheet in front of folder
	<input type="checkbox"/> Folder has been given/sent to the requesting crew member
Date folder given:	Click here to enter a date.
	<input type="checkbox"/> Folder movement has been entered into Folder and file register
Date folder due back:	Click here to enter a date.

ONCE FILE RETURNED	
Cabin Crew member:	[Click here to enter your name] Date: [Enter date]
	<input type="checkbox"/> Folder has been returned to Cabin Crew
Date folder returned:	Click here to enter a date.
	<input type="checkbox"/> Folder return has been entered into Folder and file register



Appendix F – Request folder closure form

Request Folder Closure

// Document purpose

This form is used to request that a physical or electronic folder be closed or disposed of. A closed record can have no more files added to it but can still be viewed or accessed. A disposed record will be permanently deleted or destroyed.

The central filing system is administered by the Cabin Crew. The folder history and fate will be tracked and recorded in the Folder and file register (Excel spreadsheet file) by the Cabin Crew.

Refer to the Records management policy or contact the Cabin Crew for help.

// Crew member details

Name of crew member: [Name]

Date: [Enter date]

Department: Choose your department.

Approved by: Click here to enter text.

Signature:

// Folder details

Check the **Folder and file register** to find the folder number.

Folder Number	Click here to enter text.
Folder Name	Click here to enter text.
Is this to be closed or disposed of?	<input type="checkbox"/> Close file <input type="checkbox"/> Disposal
Reason for request	Click here to enter text.

This form needs to be emailed to julia@plan2go.com.

Please allow 48 hours for processing.



// For Cabin Crew only

PROCESSING REQUEST	
Cabin Crew member:	[Click here to enter your name]
	Date: [Enter date]
	<input type="checkbox"/> Folder approved for closure or disposal
	<input type="checkbox"/> Folder has been closed or disposed of
Date of action:	Click here to enter a date.
	<input type="checkbox"/> Folder fate has been entered into Folder and file register



Appendix G – Folder numbering key

This Folder numbering key can also be found electronically for easy access in the **Folder and file register.xlsx**.

Leading category	Sub Category	Third Tier	Folder Name
1	GENERAL ADMINISTRATION		
	1.A	CORRESPONDENCE	
		1.A.1	Captain in Charge
		1.A.2	Cabin Crew Leader
		1.A.3	Coin Control Leader
		1.A.4	Project Office Leader
		1.A.5	Customer Experience Leader
		1.A.6	Innovation and Business Capability Leader
		1.A.7	Creative Services Leader
		1.A.8	Marketing and Promotions Leader
		1.A.9	People and Culture Leader
		1.A.10	Miscellaneous
	1.B	OPERATIONS	
		1.B.1	Office premises lease agreements
		1.B.2	Policies and procedures
		1.B.3	Forms and templates
		1.B.4	Constitution, articles of association, legal documentation, etc.
		1.B.5	Service and maintenance agreements
		1.B.6	Plant and equipment lease and rental agreements
		1.B.7	Insurance policies (incl. workers compensation, plant and buildings, public liability, vehicles)
		1.B.8	Vehicle registrations
		1.B.9	Handbooks and manuals
		1.B.10	Miscellaneous



Leading category	Sub Category	Third Tier	Folder Name
	1.C	INTERNAL	
		1.C.1	Agendas and minutes of meetings
		1.C.2	Reports
		1.C.3	Work functions
		1.C.4	Workplace health and safety
		1.C.5	Environmental sustainability
		1.C.6	Miscellaneous
2	PEOPLE AND CULTURE		
	2.A	EMPLOYMENT	
		2.A.1	Conditions of employment
		2.A.2	Contract of employment
		2.A.3	Induction
		2.A.4	Job descriptions
		2.A.5	Job advertisements
		2.A.6	Performance management system
	2.B	EMPLOYEES	
		2.B.1	Current employees in alphabetical order (locked in CEO's office)
		2.B.2	Testimonials
		2.B.3	Training and development
		2.B.4	Job applications
		2.B.5	Leave
		2.B.6	Health, wellbeing and compensation
3	COIN CONTROL		
	3.A	FINANCIAL ADMINISTRATION	
		3.A.1	Salaries

Leading category	Sub Category	Third Tier	Folder Name
		3.A.2	Financial statements
		3.A.3	Business plan
		3.A.4	Operational budgets
		3.A.5	Petty cash
		3.A.6	Auditor's statements
		3.A.7	Tax
		3.A.8	BAS
		3.A.9	Bank
		3.A.10	Debtor's reports
		3.A.11	Creditor's reports
		3.A.12	Asset register – Vehicles
		3.A.13	Asset register – Office plant and equipment
		3.A.14	Sponsorship
4	MARKETING AND INNOVATION		
	4.A	PROMOTION	
		4.A.1	Promotional materials
		4.A.2	Suppliers
		4.A.3	Market analyses
	4.B	BUSINESS CAPABILITY	
		4.B.1	Business strategy development
		4.B.2	Miscellaneous
	4.C	EVENT TECHNOLOGY	
		4.C.1	Current jobs
		4.C.2	Previous jobs
		4.C.3	Technology solutions



Leading category	Sub Category	Third Tier	Folder Name
5	CUSTOMER EXPERIENCE		
	5.A	CUSTOMERS	
		5.A.1	Current customers (in alphabetical order – stored in Customer Experience Leader’s office)
		5.A.2	Previous customers
		5.A.3	Itineraries
		5.A.4	Travel agents
		5.A.5	Airline companies
		5.A.6	Vehicle hire companies
		5.A.7	Customer testimonials
		5.A.8	Customer complaints
		5.A.9	Miscellaneous
6	PROJECTS		
	6.A	PROJECT MANAGEMENT	
		6.A.1	Projects in development
		6.A.2	Current projects
		6.A.3	Past projects
		6.A.4	Risk management
		6.A.5	Change control
		6.A.6	Project planning
		6.A.7	Project manager directives
		6.A.8	Compensation events
		6.A.9	Handover plan
		6.A.10	Final accounts
		6.A.11	Reports
		6.A.12	Quality control



Leading category	Sub Category	Third Tier	Folder Name
	6.B	APPRAISAL AND APPROVAL	
		6.B.1	Business case
		6.B.2	Feasibility
		6.B.3	Brief
		6.B.4	Insurers
		6.B.5	Public consultation
		6.B.6	Local authority

