



Instructions and Guidelines

Document Control and Record Management
Container and Cargo Examination Facilities (CEFs)

March 2009

**This Instruction & Guideline refers to Practice Statement No:
PS2009/22 – Inspection and Examination of Sea Cargo**

Published date:	21 November 2008
Availability:	Internal and External
Subject:	Document Control and Record Management
Purpose:	To describe the process for documenting the quality management system
Owner:	National Director Cargo
Category:	Operational
Contact:	National ISO coordinator, Sea Cargo Improvement

The electronic version published on the intranet is the current the current Instruction and Guideline

Summary of main points

- Definitions of documents and record keeping
- Records management system

This National Guideline applies to staff in:

- Container Examination Facilities in Brisbane, Fremantle, Melbourne and Sydney
- Cargo Examination Facilities in Adelaide, Darwin, Launceston, Newcastle, Townsville

The Quality Management system is applied in Cargo Examination facilities in Launceston, Newcastle, Townsville and Darwin although these sites are not required to be certified

Introduction

This Guideline should be read in conjunction with the Practice Statement 2009/22. This Instruction and Guideline sets out the procedures for documenting a quality management system and the record keeping requirements

Instructions and Guidelines

DEFINITIONS

For the purposes of the quality management system (QMS), a document and record are defined as follows:

- A **document** is information and its supporting medium. Principle documents that form a part of the QMS including:
 - Practice Statements
 - Instruction and Guidelines(I&Gs)
 - Associated Documents
 - Corporate plans and policies
 - Customs and Border Protection/CEF forms
- A **record** is a specialised, interactive document detailing the results achieved or providing evidence of activities performed. In the CEF environment, records may be in the form of:
 - Computer records (eg. mainframe systems, databases, email, etc)
 - Examination Records
 - File contents
 - Customs and Border Protection forms
 - Maintenance checklists

DOCUMENT CONTROL PROCEDURE

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Documents provide officers with operational and corporate instructions enabling them to efficiently carry out their duties, while ensuring that important safety and maintenance requirements are also met. These procedures are constantly reviewed to ensure that they meet current operational needs and safety requirements.

In order for a document to be utilised in a CEF, it must first have been properly endorsed. The development of all CEF documentation is subject to the following steps:

- the document is drafted;
- the draft is circulated for comment/feedback;
- feedback is considered, and amended as appropriate;
- the draft is authorised.

The consultation process for a document will be relative to its intended application.

Preventing Unintended Use of Obsolete Documents

Staff are responsible for ensuring that they are accessing the correct version of any document they are using.

Where possible, “hard” copies of documents are to be kept to a minimum. In some instances, particularly in the operation of CEF equipment, a hardcopy manual may be necessary. In such cases, a copy may be kept near the device to assist officers in its use and it will be the responsibility of the CEF Equipment Officer/CATO to ensure that the newest version is available.

NATIONALLY MANAGED DOCUMENTS

National QMS documentation is accessible to all CEF staff through the Customs and Border Protection Intranet. Examples of these documents include the Practice Statement Inspection and Examination of Sea Cargo and Instructions and Guidelines.

National documents are created for use in multiple CEF sites, necessitating a more formal consultation and endorsement process than CEF documentation. The National ISO Coordinator (NISOC) is responsible for coordinating the drafting of national documentation. National documents are circulated to CEF Managers and other regional stakeholders prior to being approved by the National Director Cargo. All new Instructions and Guidelines are also tabled at the Top Management Meetings for endorsement. The approved documents are then registered by Planning Branch and uploaded to the Intranet.

The following information should be included in all national documents:

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- approval date/registration date
- a review date
- an approval/endorsement officer

National documents that have been specifically drafted for CEF use are designated for periodic review at either 6 or 12-month or biennial intervals at the relevant ISO Coordinators' Meeting. National Instructions and Guidelines are approved by the ND Cargo, they are then registered by the Planning Branch and then uploaded onto the CEF Intranets site. This procedure ensures consistency and currency of National documentation.

The electronic versions published at the intranet are the current documents.

CEF officers should only refer to these current electronic versions. Printed copies of these documents are not controlled.

REGIONALLY MANAGED DOCUMENTS

CEF documents are intended to manage a regional operational process for that facility and are usually available to staff from a specified location on the LAN. Examples of these documents include Associated Documents and CEF-specific form templates, CEF Strategic Documentation.

Master copies of all CEF documents are kept electronically on the Customs and Border Protection LAN and should be password protected. When a document is to be re-drafted, the ISO Coordinator will be responsible for an editable file to the nominated drafter. Subsequent to the document being endorsed, the ISO Coordinator is responsible for ensuring that all superseded copies of the document are taken out of circulation and archived as required.

Depending on its expected application, CEF documentation should be circulated to regional management as part of the endorsement process prior to being forwarded to the National Manager for final approval.

In instances where CEF officers are routinely required to access a document from a specified location on the LAN, it is the ISO Coordinator's responsibility to replace the nominated file with the most up-to-date version. To ensure that new documents are accountable and regularly reviewed, the development of all CEF-specific documents should be coordinated or monitored by the ISO Coordinator. Relevant staff should be notified of updates to CEF documentation via email.

It is the responsibility of the ISO Coordinator to ensure that there is no conflict/ overlap between national and CEF documents. If a new national document is issued for a process already covered by a CEF document, the regional document is considered to have been superseded and is to be withdrawn from circulation.

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Technical Manuals and Instructions

Technical manuals are often created off-site by the manufacturer of specific technology/equipment. Manuals and operator instructions that are created outside the CEF are not subject to the same version control requirements as other documentation.

Because of the diversity and quantity of technical equipment used at the facility, technical manuals and instructions may be required to be kept close to equipment. The responsible CEF officer or CATO is responsible for ensuring that obsolete versions of technical manuals are removed from the work area, however it is the responsibility of all staff to ensure that they are utilising the most current version. If staff have concerns with the content of a technical manual, they should refer these to their Case Officer/Team Leader or CATO.

Where practical, important content from technical manuals should be summarised in Instruction and Guidelines, thus limiting the need for hardcopy documents to be in circulation in the CEF.

RECORDS MANAGEMENT PROCEDURE

All Customs and Border Protection employees are bound by the provisions of the *Archives Act 1983* (Archives Act). Under this legislation, originators of e-mails dealing with policy, instructions, operations and other relevant topics should retain “hard” copies on relevant files. Storage of E-mails is the subject of national policy instruction, details of which can be found through the *Records Policy* page on the Customs and Border Protection Intranet.

All CEF records are to be stored in accordance with the requirements stated in the *Customs and Border Protection Security Handbook* (CSH). Originators of all records are to consider whether the information should be afforded a security classification in accordance with the instructions in the security manual. The CSH can be found under the People and Place page on the Customs and Border Protection Intranet.

Registry files are to be handled in accordance with the *Records and Information Management System* (RIMS). Registry files should be dealt with promptly and returned through the internal courier to registry when no longer required. Further details about RIMS and the handling of registry files, can be found on the *Information Management Branch* page on the Customs and Border Protection Intranet.

Disposal of Records

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The physical destruction of records should always be conducted in line with the provisions stated in the Archives Act, the CSH and associated corporate instructions. In short, all classified information to be destroyed must be shredded and/or deposited in the security disposal bins for protected information. Under no circumstances is classified, “in-confidence” or sensitive information to be disposed of in “normal” waste paper or industrial bins.

CEF-Specific Records

A number of documents have been created for the use of officers at the CEF and, once recorded to, must be handled appropriately. All staff should be aware of the storage requirements of the following documents:

Inspection Statistics/IPS Checklist

These records are checklists originated by the IPS operator and may have other records attached such as ICS Manifest/Declaration details and EXAMs job details. This is an internal document and replicates information contained in other systems. As such, the document may be shredded after seven (7) days.

Customs and Border Protection Officer Notebooks

The main purpose of the notebook is for officers to make contemporaneous notes in a form that enables officers to compile reports, statements and, if required, be used as evidence in court. These original notes must be of a standard capable of withstanding the scrutiny of the court. Notebook training is carried out as part of the Customs and Border Protection Trainee curriculum.

Examination Running Sheet/Log

These records contain information specific to the examination. Largely this information is replicated in the EXAMS 2 system. Although much of the information recorded on Exam Records is recorded electronically, some specific information is not carried across. As such, the examination cover sheet – in particular the fumigant testing details – is to be retained for 75 years. These records are to be archived by the CEF.

Breathing Apparatus Logs

Training on the use of self-contained breathing apparatus (SCBA) is managed by the National Enforcement Training Centre (NETC). SCBA maintenance logs are assigned for the life of the goods, and are stored in the SCBA Storage Room. When the gear is no longer serviceable, the equipment *and the relevant maintenance logs* must be returned to the NETC.

Scanning Hall Records

The information contained on the Scanning Hall computer is backed up periodically for archiving purposes. Each individual record is numbered and

catalogued with coverage dates. These files are to be retained for seven (7) years in accordance with Commonwealth archiving procedures.

Training Records

The CEF Training Coordinator maintains a training database listing details of CEF Officer qualifications. Where applicable, hardcopies of relevant qualifications should be retained. Training records for CEF staff is to be held for the duration of their employment at the facility.

Equipment and Maintenance Records

CEF staff are responsible for maintaining the files for the procurement and maintenance of all CEF equipment. All maintenance is to be carried out in accordance with a maintenance program, with records maintained on the relevant file.

Other Computer Records

Official CEF records should be retained in an appropriate folder on the LAN drive. All staff must adhere to corporate record management instructions when determining whether hardcopies of records documents are required to be retained on registry files.

Related Policies and References

Practice Statements:

- Inspection and Examination of Sea Cargo

Other Instructions & Guidelines

- Managing the Quality Management System
- Performance Measures and Clients
- Auditing and Monitoring
- Control of Non Conforming Product
- Purchasing and Supplier Evaluation
- Complaints Handling Procedures

Key Roles and Responsibilities

**NATIONAL ISO COORDINATOR, SEA CARGO IMPROVEMENT, CANBERRA
CEF MANAGERS**

Copies of this document are controlled. Master copies of the document are on the Intranet. National ISO coordinator is responsible for version control.

Consultation

Internal

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The following internal stakeholders have been consulted in the development of these Instructions and Guidelines.

- ISO Coordinators
- CEF Managers
- Sea Cargo Improvement

External

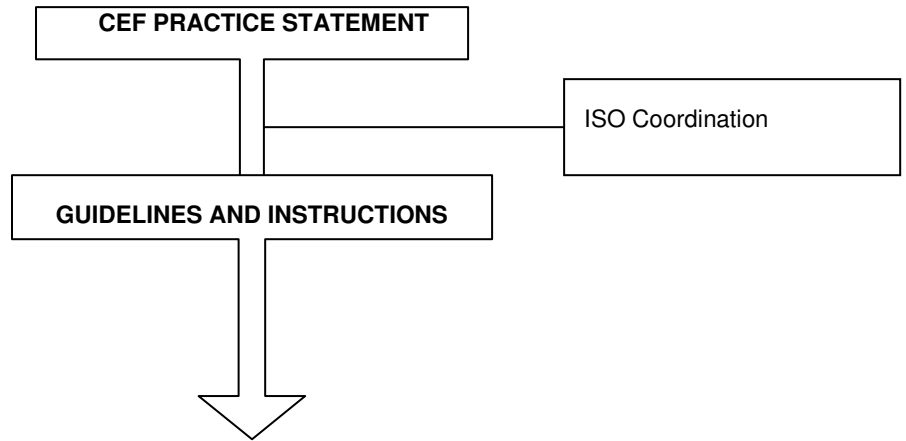
Not required

Approval

Approved on	27 October 2008	(signature)
By	Jaclyne Fisher National Director Cargo	
Review Period	This National Guideline is to be formally reviewed biennially by Sea Cargo Improvement	

CEF DOCUMENTATION

Nationally Managed Documents



Regionally Managed Documents

