

# **Friends of Black Rock High Rock Records Management Policy**

## **SECTION 1: MANAGEMENT OF RECORDS**

### 1.1 Objective

The objective of the Records Management Policy is to support Friends of Black Rock High Rock (FBRHR) towards best practice and excellence in records management.

### 1.2 FBRHR Responsibilities

All records, including administrative, personnel, and accounting are to be managed in accordance with this policy.

The responsibilities for management of records are summarized as follows:

- Compliance with Records Management Policy
- Review and maintenance of Records Management Policy
- Implement a suitable Records Management System meeting all the requirements of this policy
- Develop standard operational and management reports for FBRHR
- Ensure staff maintain full and accurate records
- Annual review of Records Management System

The operational aspects of records management at FBRHR is the responsibility of all staff.

### 1.3 REPORTING

The Director will monitor compliance of all users with the Records Management Policy.

Recommendations on strategies and/or changes to achieve improved efficiency are to be communicated to the Director who will report to the Board of Directors.

## **SECTION 2: STANDARDS**

### 2.1 Records Management Program

FBRHR has introduced its Records Management Program incorporating the eight principles outlined below.

- 1) Identifiable- FBRHR has identified the Records Management Program at every level of the organization. Appropriate resources have been allocated to enable the program to be implemented and maintained.
- 2) Supported by Policy- All FBRHR staff and board members support the policy for Records Management.
- 3) Planned- FBRHR has introduced an implementation plan to ensure the Records Management Program is put into practice.
- 4) Assigned- Responsibility of FBRHR Records Management Program has been assigned to all staff members.
- 5) Organized- The Records Management Program has been organized according to the needs and structure of FBRHR.
- 6) Staffed with Skilled Personnel- FBRHR trains all staff to enhance the skills of personnel in record administration.

- 7) Implemented- FBRHR has implemented this program into all aspects of the organization.
- 8) Measured- FBRHR has introduced performance indicators to measure the Records Management Program.

## 2.2 Full and Accurate Records

FBRHR has introduced a Record Procedures document incorporating the fourteen principles outlined below.

- 1) Recordkeeping should comply with legal and administrative requirements.
- 2) Recordkeeping systems, procedures and practices should work reliably to ensure that records are credible and authoritative.
- 3) Records should be made, maintained and managed systematically.
- 4) Recordkeeping must be managed through an identifiable records management program.
- 5) Recordkeeping should be routine.
- 6) Recordkeeping systems should be used when transacting business.
- 7) Records should be retained for as long as they are needed.
- 8) A record should contain not only the content, but also the structural and contextual information necessary to document a transaction.
- 9) Records should document the whole of the business of FBRHR.
- 10) Records should be adequate for the purposes for which they are kept.
- 11) Records should correctly reflect what was communicated, decided or done.
- 12) Records should be authentic; they should be what they purport to be.
- 13) Records should be identifiable, retrievable, accessible and available when needed.
- 14) Records should be securely maintained to prevent unauthorized access, destruction, alteration or removal.

## 2.3 Physical Storage of Records

FBRHR has located an area for all records in accordance with the objectives of the Records Management Program. The objectives are to ensure that:

- Records are protected, secure and accessible for as long as they are required to meet business and accountability needs and community expectations, and
- Records are stored in the best conditions possible.

## **SECTION 3: ADMINISTRATIVE PRACTICES**

FBRHR has adopted the administrative practices as outlined below. All staff members are to adhere to these guidelines when dealing with records relating to FBRHR and its business activities.

### 3.1 Definitions:

ephemeral records: records of little value that only need to be kept for a limited or short period of time. Ephemeral records have no continuing value to FBRHR and, generally, are only needed for a few hours or a few days.

facilitative records: records of little value and of a routine instructional nature that are used to further some activity. Most facilitative records have no continuing value to FBRHR and, generally, are only needed for a few hours or a few days.

records of continuing value: any record that has administrative, legal, fiscal, evidential or historic value to FBRHR.

### 3.2 Drafts

3.2.1 Meaning: drafting is the activity associated with preparing preliminary drafts or outlines of addresses, speeches, reports, correspondence, tables, statistics, file notes, plans, and sketches, etc, prior to production of a final version or the final form of the record. Drafting records can be in paper form or electronic form.

3.2.2 Drafts that must not be disposed of:

Drafts that must not be disposed of are those for which there is an identified recordkeeping requirement to retain them because they document significant decisions, reasons and actions and contain significant information that is not contained in the final form of the record. Examples of such drafts are:

- a) drafts relating to the formulation of legislation, legislative proposals and amendments;
- b) drafts relating to the formulation of policy and procedures, where the draft provides evidence of the processes involved or contains significantly more information than the final version of the record;
- c) drafts of legal documents (contracts, tenders, etc).

3.2.3 Drafts that can be disposed of:

Drafts that can be disposed of are draft documents and working papers of a routine nature used for the preparation of such documents as:

- a) budget documents;
- b) charts;
- c) correspondence;
- d) file notes;
- e) minutes;
- f) reports;
- g) spreadsheets

### 3.3 Duplicates of records

3.4.1 Meaning: Duplicates are reproductions of records where the original or authorized copy of the record is contained within FBRHR's recordkeeping system.

3.4.2 Duplicates that must not be disposed of:

- a) duplicates of documents sourced from outside FBRHR that should properly be placed on file or captured in an appropriate way within the recordkeeping system of FBRHR (electronic records will need to be maintained electronically);
- b) duplicates of internal documents that in themselves may form part of a record.

3.4.3 Duplicates that can be disposed of:

- a) information copies or duplicates of records that have already been captured within the recordkeeping system elsewhere in FBRHR;
- b) duplicates of internal publications held for informational purposes (for example, annual reports, leaflets);
- c) duplicates of external documents and publications (for example, external annual reports, brochures, newsletters).

### 3.5 Computer Support Records

3.5.1 Computer support records that must not be disposed of: Computer support records that must not be disposed of are those that support significant functions of FBRHR and that may be needed as evidence of particular activities (for example, records that provide audit trails).

3.5.2 The following computer records can be disposed of once they have been acted upon or superseded and are not required for ongoing business requirements:

- a) input/output formats from mechanical and electronic records systems;
- b) reference copies of user manuals etc;
- c) obsolete computing software;
- d) systems back-ups,
- e) test data.

### 3.6 Facilitating Instructions

3.6.1 Meaning: Facilitating instructions are records that contain routine or facilitative instructions to staff members in the form of “post-its” or notes, forms, etc.

3.6.2 Facilitating instructions that must not be disposed of:

- a) those that are identified as having continuing value (for example, are part of an actual business transaction itself);
- b) those that have policy/procedural implications;
- c) those that are identified as important to FBRHR.

3.6.3 Facilitating instructions that can be disposed of may relate to such activities:

- a) correcting typing errors;
- b) file creation or retrieval;
- c) filing a letter;
- d) running off duplicates.

### 3.7 Messages

3.7.1 Meaning: Messages may be in the form of e-mail, voice mail, facsimiles, ‘post-its’, slips of paper, telephone messages, transmission reports, etc.

3.7.2 Messages that must not be disposed of are identified as having continuing value.

3.7.3 Messages that can be disposed of:

- a) are ephemeral and are only of short term value;
- b) have had a copy placed on the relevant file or captured in an appropriate way within FBRHR recordkeeping system.

### 3.8 Solicited and unsolicited advertising material

3.8.1 Meaning: This refers particularly to advertising and other material generally known as “junk mail”. It includes (but is not limited to) the following:

- a) advertising “flyers”;
- b) brochures;
- c) catalogues;
- d) price lists.

3.8.2 Disposal: Solicited and unsolicited advertising material can be disposed of. Some catalogues may need to be placed on the appropriate equipment or purchase files.

## **SECTION 4: ELECTRONIC RECORDKEEPING & MESSAGES**

Electronic records and messages generated or received by FBRHR or an employee of FBRHR in the course of official duties are to be treated as official records.

It is required that the Director ensure that electronic records and messages are adequately and properly documented and satisfy identified business needs, accountability requirements and community expectations.

Electronic messages are a form of business communication. The sending of an electronic message is a business transaction and therefore a record.

Electronic mail and voice mail, with appropriate contextual detail, can be printed or transcribed and filed into a paper-based recordkeeping system

## **SECTION 5: GENERAL**

### Definitions

Record: any document or other source of information compiled, recorded or stored in written form or on film, or by electronic process, or in any other manner or by any other means.

Electronic Business: for the purposes of this policy, 'electronic business' is a broad term which encompasses all forms of business activity carried out using electronic means. This includes all forms of electronic service delivery and electronic commerce, the sending and receiving of e-mail and the use of other electronic business tools and information systems for administrative or other specific purposes.