**Records Management Policy**

### Purpose

The purpose of the Records Management Policy is to ensure that full and accurate records of all activities and decisions of John Readings are created, managed and retained or disposed of appropriately and in accordance with relevant legislation. This will enable the company to achieve information accessibility, business enhancement and improvement. It will also meet its obligations for accountability while ensuring that it protects the rights and interests of the organisation, its staff, clients and the community.

### Scope

All staff, suppliers, contractors and consultants and other stakeholders must comply with this policy, and associated *Records Management Procedures*, in their conduct of official business for John Readings. This policy applies to records in all formats, including electronic records and should be read in conjunction with the *‘Electronic Communications Policy’*.

1. **Definitions**

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| Classification of Records | Records are classified according to the business functions and activities, which generate the records. This functional approach to classification means that classification can be used for a range of records management purposes, including appraisal and disposal, storage and security requirements, and setting user permissions, as well as providing a basis for titling and indexing. |
| Electronic Documents and Records Management System (EDRMS) | Enterprise system that is used across the company to manage John Readings records in a secure and compliant manner. |
| Metadata | A set of data that describes and gives information about other data. This information is used to describe the context and structure of records and their management through time. Metadata help to facilitate identification, findability, retention and disposal of records. A record without metadata is impossible to prove as authentic and is therefore incomplete. |
| Migration | The transfer of records from one hardware or software configuration to another or from one generation of technology to another. Migration is at times necessary for digital records due to technological obsolescence or media degradation. |
| Record(s) | Any documents or other sources 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. They are a part of and result from business activities and transactions and provide evidence of those activities. Records may include, but are not limited to, any staff member’s paper based records, emails, or electronic documents stored at John Readings or on company equipment that:   * Correctly reflects what was done, communicated or decided, and that can be trusted as a true representation of the transactions or events which it documents, * Is authentic, i.e. Usable, reliable and of integrity, * Is complete and protected against unauthorised access, alteration, deletion or loss, * Is understandable, complete, retrievable and available through time, * Personal and / or private documents that are not part of official company business are not considered to be records under this policy. |
| Records Capture | Processes involved in the capture of records include   * Registration * Classification * Indexing   These processes happen within the EDRMS and support users in finding, controlling and managing records. |
| Records Disposal | A range of processes that include permanently removing records from John Reading’s control through an approved process, such as archiving, deleting or destruction or the transfer of custody or ownership of records. |
| Records Management Framework | This policy, together with the processes, people and systems required to manage records in accordance with the State Records Act 1998 (NSW). |

## Records as a Resource

John Readings recognises that records are a vital asset to:

* Facilitate information accessibility, and enhance business by supporting program 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 john readings, its partner suppliers, customers, clients and other stakeholders.

## 5. Records Management Program

### 5.1 Objectives of the Records Management Program

A records management program is a planned, co-ordinated set of policies, procedures, people, systems and activities that are required to manage records.

John Readings Records Management Program seeks to ensure that:

* It has the records it needs to support and enhance ongoing business and customer service, meet accountability requirements and community expectations,
* These records are managed efficiently and can be easily accessed and used for as long as they are required,
* Records are stored as cost-effectively as possible and when no longer required they are disposed of in a timely and efficient manner,
* The company complies with all requirements, regulations and legislation, concerning records and records management practices,
* Records of longer term value are identified and protected for historical and other research.

### 5.2 Organisation and management of John Readings Records Management Program

The company’s Chief Financial Officer (CFO) maintains oversight of the Records Management Program and reports to the JR Board quarterly as required/ needed. The day to day operations of the records management program sits with the Operations Manager.

### 5.3 Elements of the Records Management Program

**Creation and Capture**

John Readings has endorsed the use of a number of standard, open source file formats outlined in the *Records Management Procedures* and other related records and document management policies. These formats have been chosen to streamline the ongoing management of the company’s records and should be the only formats used for the creation of records.

Staff should ensure that they create official records of all decisions and actions made in the course of their official business. For example, if business is transacted by telephone, file notes of the key points in the conversation should be documented. Official meetings should include the taking of minutes.

To assist in promoting the responsible creation of records, the capture of essential information and the management of records over time, John Readings has developed the following:

* Paper and electronic templates,
* Definition of recordkeeping requirements and business rules,
* Style guides, electronic communications policies and procedures and so on.

All records defined by the organisation as important to create should be captured into John Readings recordkeeping systems so they can be managed appropriately. The information required to be recorded about each record on capture is described in the *Records Management Procedures.*

Records should be placed on an official file. Files are registered in John Readings records management software and given a unique number. File titles are obtained from the company name and/or specified department classification scheme. All official outgoing communications, including letters, faxes, e-mails etc should contain reference to the file number, as prompted in the templates. Further information is available in the *Records Management Procedures.*

Whenever new databases and automated systems are being designed, the operations manager should be consulted to determine what records should be created and captured by the system and the recordkeeping rules and tools that need to be accommodated.

### Storage

Current hardcopy records should be stored in designated storage areas for current records]with access restrictions as outlined in the *Records Management Procedures.*

Rarely used records or records no longer in use for official purposes that are still required to be retained in accordance with the current *Records legislation* should be forwarded to the records management clerk for action.

Electronic records may either be retained online (on servers) or offline (on CD Roms, DVDs, magnetic disks or other removable media). Records of short term value will be disposed of at suitable intervals by the records clerk under supervision from the Operations Manager. Records of long term or archival value should be retained online wherever possible and managed in accordance with the *Records Management Procedures.*

If vital records are stored on removable media, copies should be made and sent to John Readings Melbourne Office in line with the [company’s *Disaster Plan.* Removable media should be forwarded to records clerk when rarely or no longer used for official purposes.

**Maintenance and Monitoring**

The location of each record needs to be recorded and updated at every movement of the record. This ensures that records, as assets, can be accounted for in the same way that the other assets of the company are. Staff members should update the records management software or notify the records clerk when passing records on to another officer.

The records clerk in conjunction with the IT Manager is responsible for ensuring that records and environmental conditions are monitored regularly to protect records. This will include checking temperature and humidity levels in dedicated records storage areas for paper records and ensuring that digital records are refreshed or replicated when scheduled, when new storage devices and media are being installed or when degradation is detected.

Maintenance of electronic records can also entail the migration of data. Migrations must be authorised by Chief Financial Officer and must produce authentic, complete, accessible and useable records. For more information on procedures for migrations see relevant IT procedures. John Readings] has implemented a number of security and counter disaster measures as part of its Information Security Management System (ISMS) for safeguarding its information assets. Staff should abide by these measures at all times. See *Records Management Procedures* for more information.

**Disposal**

Official and other stored records must be disposed of in accordance with the relevant general disposal schedule. The *Records Management Procedures* contains information on how this is achieved.

No records of John Readings can be disposed of unless in accordance with the disposal schedule. The company has defined what organisational records are covered by Normal Administrative Practice and how it is to be applied in its *Records Management Procedures*. Approval and signed authorisation for retention, destruction or transfer of records must be sought from the appropriate person with delegated authority before any disposal takes place.

**Transfer**

John Readings has an additional storage facility at its Melbourne Offices for the storage of physical records that are infrequently used for business purposes but still need to be retained according to the *relevant authority.* The records clerk is responsible for transferring these records to the facility.

In the event of administrative change, for example, the transfer of functions from John Readings to another organisation, theOperations Manager will advise staff on transfer procedures for records.

### Access

Records must be available to all authorised staff that require access to them for business purposes. Reasons for restricting access are outlined in the *Records Management Procedures*.

Any external access to John Reading’s records by government and other authorities will be in accordance with the *Records Management Procedures*.

### Suppliers, Contractors and Outsourced Functions

All records created by suppliers/ contractors performing work on behalf of John Readings belong to John Readings and are State records under the *State Records Act 1997*. This includes the records of contract staff working on the premises as well as external service providers and inventory and also includes all documentation related to Chain of Responsibility and other aspects under the Heavy Vehicle Legislation.

Contracts should clearly state that ownership of records resides with John Readings and instructions regarding creation, management, and access to the records created. The Operations Manager should be consulted during the formulation of the contract.

For more information about the above activities consult the *Records Management Procedures.*

## 6. Responsibilities

### 6.1 Operations Manager

* Ensures that John Readings complies with the requirements of the State Records Act and the standards and requirements issued under the Act.
* Complies with other legislation relating to records management and recordkeeping,
* Ensures that the Records Management Program is adequately resourced,
* Has ownership of the *Records Management Policy,*
* Ensures the preservation of digital records is addressed in policy, planning and implementation of the company name's records management program,
* Ensures that the essential characteristics of digital records are identified prior to any preservation process taking place.

### 6.2 Records Management Clerk

* Compiles *Records Management Policy* and *Procedures* and standards in relation to all aspects of records management,
* Monitors compliance with the *Records Management Policy* and *Procedures* and standards across the company and makes recommendations for improvement or modification of practices,
* Designs and advises on recordkeeping systems,
* Establishes and maintains a customised recordkeeping metadata schema and business rules regarding how metadata is to be managed (in liaison with information technology staff),
* Assists with automated metadata capture, for example, ensuring that details of format are automatically saved into the EDRMS with digital records (in liaison with information technology staff},
* Manages the records management software/file register,
* Authorise the disposal of records, in liaison with relevant manager,
* Ensures that all staff are aware of their recordkeeping responsibilities,
* Responsible for the conduct of records management operations.

### 6.3 Director IT

* Provides support and infrastructure to ensure that records kept in electronic form are managed so that they are accessible, readable, inviolate, complete, comprehensive, and authentic for as long as required,
* Ensures that information management policies and projects take into account the special nature of records,
* Liaises with operations manager regarding counter disaster planning for electronic records,
* Establishes and maintains a customised recordkeeping metadata schema and business rules regarding how metadata is to be managed (in liaison with records management staff),
* Assists with automated metadata capture, for example, ensuring that details of format are automatically saved into the EDRMS with digital records (in liaison with records management staff),
* Ensures appropriately detailed audit logs are created and where necessary linked to records,
* Implements information security measures,
* Performs routine and comprehensive system backups of data,
* Deploys organisational templates including for email,
* Encourages or enforce the creation of email in plain text or HTML.

### 6.4 Department Managers

* Ensure that records are created and managed within their business unit in a way which complies with the *Records Management Policy and Procedures,*
* Provide feedback on the success of migration processes to help ensure records remain authentic, complete, accessible and useable,
* Ensure that staff are trained in how to create and manage records,
* Authorise the destruction of records, along with operations manager,
* Determine legislative requirements for records relating to their specific activities,
* Ensure that contract with suppliers and service providers contain records management clauses in accordance with this *Records Management Policy.*

### 6.5 All staff

* Comply with *Records Management Policy* and *Procedures,*
* Create full and accurate records of their business activities, including records of all decisions and actions made in the course of their official business.
* Ensure that all records are saved into the organisation’s recordkeeping systems.

### 6.6 Suppliers and Contractors

* Manage records that they create on behalf of the [company name] according to the terms of their contract.

## 7 Relevant/ Related Documentation

[State Records Act 1998 (NSW)](http://www.records.nsw.gov.au/about-us/state-records-act-1998/state-records-act-1998/?searchterm=state%20records%20act) [State Records Regulation 2015](https://www.legislation.nsw.gov.au/regulations/2015-505.pdf" \t "_top) [Privacy and Personal Information Protection Act 1998](https://www.legislation.nsw.gov.au/" \l "/view/act/1998/133" \t "_top) [Health Records and Information Privacy Act 2002 (NSW)](http://www.austlii.edu.au/au/legis/nsw/consol_act/hraipa2002370/" \t "_top) [Government Information (Public Access) Act 2009 (NSW)](http://www.austlii.edu.au/au/legis/nsw/consol_act/giaa2009368/?stem=0&synonyms=0&query=Government%20Information%20(Public%20Access)%20Act" \t "_top) [Independent Commission Against Corruption Act 1988 (NSW)](http://www.austlii.edu.au/au/legis/nsw/consol_act/icaca1988442/" \t "_top) [Public Interest Disclosures Act 1994 (NSW)](http://www.legislation.nsw.gov.au/viewtop/inforce/act+92+1994+FIRST+0+N/" \t "_top)

John Readings Records Management Procedure,

John Readings Privacy Policy and Procedure,

John Readings Cyber Security Policy,

John Readings Electronic Communications Policy and Procedure,

John Readings Records Management Procedure,

John Readings Financial Management Policy and Procedures Manual,

Business Continuity Management Policy,

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| --- | --- |
| Policy Owner | Operations |
| Approved by | Operations Manager |
| Date | March 202x |
| Review Due | March 202x |