

Creation, Capture and Control of Records



CATHOLIC ARCHDIOCESE OF PERTH

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Policy Sub-category	Records Management
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Creation, Capture and Control of Records

Purpose

The purpose of this policy is to:

- Provide Archdiocese employees with awareness and understanding for the appropriate management, creation, capture and control of all the ecclesiastical, canonical, parish and business activities and decisions of the Archdiocese records and data;
- Manage records and data for accessibility and usability over time for as long as required to meet administrative, legal, fiscal and archival requirements;
- Promote compliance with its various legislative and regulatory obligations; and
- Contribute to the strategic directions and operational capacity and capability of the Archdiocese, in particular the support for ecclesiastical, canonical and business functions in the short term and long term through the creation, capture and control of accurate, reliable and authentic records and data.

Scope

This policy applies to:

- Employees and Volunteers; (referred to in this Policy as Staff/Staff Members)
- All Archdiocese-owned agencies, offices and organisations belonging to the Roman Catholic Archbishop of Perth Corporation Sole, who create, capture, store and use records and data in the Archdiocese.
- and Consultants and Contractors

Subject Matter

The records and data of the Archdiocese are an important and vital asset that support ongoing operations and functions, and provide valuable evidence of ecclesiastical, canonical and business activities over time. The Archdiocese is committed to implementing best practice records management practices and systems to ensure the creation, capture and control of accurate, reliable and authentic records and data.

Policy Statement

The ownership and custody of the Archdiocese's records and data assets, resides with the Archdiocese irrespective of whether it was received or created by Archdiocese employees, contractors, consultants, volunteers and organisations performing work on behalf of the Archdiocese. Regardless of type, format or media, all records and data resides within the Archdiocese and not the individual

Roles and Responsibilities

- The Archbishop, as owner, is accountable for the overall appropriateness and compliance of the Archdiocese's records and data to the requirements of the
 - National Catholic Safeguarding Standards and
 - The Archdiocese's Information Governance (Strategy).
- The Archbishop delegates responsibility for the Archdiocese's records and data management program to the Archivist, as the custodian of records and data. The Archives and Information Governance Office (AIGO) are responsible for the ongoing effectiveness of the records and data management program,
- All Executives and Managers are to ensure the implementation of this policy. It is the responsibility of each Executive and Manager to champion the value of records and data management to their business areas and to encourage adherence to and support for the Archdiocese's records and data management program.
- All Archdiocese employees are responsible for ensuring that records and data created as a result of their official roles, regardless of type, format or media, is managed in accordance with the Archdiocese's Strategy.
- All owners of business systems that store records, information and/or associated metadata must understand their responsibilities and obligations related to their system/s and associated business processes that they manage and/or use. As such, they must adhere to the Archdiocese's Strategy.

Creation of Records and Data

Archdiocese employees must create, capture and control official ecclesiastical, canonical, parish and business records of all decisions and actions made in the course of their official business. These include all records, irrespective of medium or format e.g.: hardcopy and digital records, including, but not limited to, emails and websites, and records and data in all business systems, mobile devices, databases, social media and voicemail.

Such records should provide a reliable and accurate account of ecclesiastical, canonical, parish and business decisions, communications and actions. In addition, they should include information necessary to support the needs of the Archdiocese.

The principles of creation, capture and control of records across the Archdiocese are guided by the Australian standard, *AS ISO 15489.1:2017, Information and documentation - Records Management*.

All Archdiocese employees will:

- Create records at the time of, or as soon as practicable after, the event to which they relate;
- Provide a correct and accurate reflection of any actions, decisions and/or communications for all records created by the Archdiocese;
- Create, capture and control all records and data within the approved recordkeeping systems;
- Create and capture digital records rather than hardcopy records wherever possible;
- Not permit additions or alterations to an existing record once created; and
- Create a subsequent record if additions or alterations are required and add using consistent metadata

and naming conventions to preserve the integrity, authenticity and reliability of a record.

Control of Records and Data

The AIGO will manage the records and data management program to ensure the appropriate creation, capture, use and storage of records and data in all formats, including the archiving and disposal of records over time.

This includes the development and maintenance of specialised records management tools and systems i.e.

- A Business Classification Scheme for the grouping of records;
- Naming conventions for the naming of documents in a structured and consistent manner;
- Metadata templates for the appropriate control of and access to records;
- Protocols for file numbering; and the
- Preservation, archiving and disposal of records in accordance with legislative and Archdiocese requirements.

Archdiocesan employees will

- Include a relevant file number on all official outgoing correspondence and communications, including, but not limited to, letters, faxes, and emails; and
- Maintain records in the various business and recordkeeping systems for as long as they are required to effectively and efficiently support the Archdiocese's ecclesiastical, canonical and business functions and activities.

Recordkeeping Systems

All of the Archdiocese's records must be created, captured, controlled and maintained within an authorised business or recordkeeping systems with the appropriate metadata.

The primary and preferred system is the Archdiocese's Electronic Document and Records Management System (EDRMS) which is the official records management system. The EDRMS supports and enhances the creation, capture, control and maintenance of authentic, reliable and usable records that meet the needs of the Archdiocese.

Where possible and practicable,

- All records created should be captured, controlled and stored in the EDRMS.
- All incoming hardcopy (paper) correspondence received by the Archdiocese should be converted to digital format and saved in the EDRMS.

GOVERNANCE FRAMEWORK

To enable for the Archdiocese to efficiently and effectively manage and safeguard its data, it must be managed as a strategic asset through clear processes, procedures, standards and guidelines.

Institutional data is the property of the Archdiocese, no single person or business group/unit “owns” the data and everyone is responsible for managing it effectively.

- Every data source must have a defined Data Custodian and Data Steward, who act in a business leadership role and a subject matter expert role;
- Data should only be collected and readily available for use, for a specific and documented purposes, in a simple, user centric approach that supports and enables data value to realised;
- Data capture, validation and processing should be automated, wherever possible;
- Unnecessary duplication of Archdiocese data is to be avoided;
- Data is managed through approved, managed structures and models that provide context and a best practice approach that enables active data lifecycle management; and
- Data must be protected from unauthorised access and modification.

BREACH OF POLICY

Failure to comply with this Policy by a staff member may be considered a breach of the Code of Conduct and may result in disciplinary action.

LEGISLATION

Corporations Act 2001 (Cth)

Privacy Act 1988 (Cth)

ASSOCIATED DOCUMENTS

Data Governance Policy

Approved Information Governance Policy suite.

National Catholic Safeguarding Standards

Serving the Church in the Digital Age: The Archdiocese of Perth’s Information Governance Strategy

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2.0	16.05.23		Align visual style with other documents, minor text changes

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