

Storage and Maintenance of Records



CATHOLIC ARCHDIOCESE OF PERTH

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Storage and Maintenance of Records

INTRODUCTION

The Archdiocese is committed to ensuring that records that support the delivery of ecclesiastical, canonical and business operations and activities are readily available to authorised users in a timely manner. As such, all records and information need to be stored and maintained under appropriate conditions and in accordance with retention and disposal requirements.

OBJECTIVE

This policy aims to ensure:

- Records in all formats are stored and maintained appropriately so that they are available to support ecclesiastical, canonical and business needs of the Archdiocese;
 - There is awareness and understanding of appropriate storage and maintenance of records; and
 - The fulfilment of legislative obligations concerning records management.
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SCOPE

This policy applies to all staff (paid and unpaid), including contractors, consultants and volunteers associated with the Archdiocese and all Archdiocesan-owned agencies, organisations and parishes belonging to the Roman Catholic Archbishop of Perth Corporation Sole (the Archdiocese), who create, capture, store and use records in the Archdiocese.

All records, irrespective of medium or format, must be subject to this policy. For example, hardcopy and digital records, including, but not limited to, emails and websites, and records in all business systems, mobile devices, databases, social media and voicemail.

POLICY STATEMENT

Overview

Records will be appropriately maintained, stored and preserved for as long as they are required. All records will be stored and maintained in accordance with the approved retention and disposal schedule.

Records will be captured in an approved records management system or business system to ensure that they are easily located and accessible and that movement can be tracked, and that the Archdiocese is able to account for all records. Archdiocesan records will not be stored on local or network drives, DVDs, CDs, USB storage devices or by similar means.

The Director of Information Management and Archives will develop and manage procedures to store and maintain records in all formats, including the movement of records to approved archival storage sites. (Refer to the Archives Manual)

Paper-based Records

Storage conditions for paper-based records will be designed, implemented and maintained to protect the records from unauthorised access, use and theft. These conditions will also protect the records from deterioration or damage that may be caused by fire, water and other artificial, structural and industrial disasters, as well as mould, vermin and natural disasters.

Paper-based confidential records will be stored in a secure area. Such records are not to be left unattended on desks at any time.

The storage conditions of paper-based records that are considered to have continuing or archival value will be guided by the relevant Australian or international archival standards.

Semi-active records, that is, those that are required only infrequently, may be stored in in-house or commercial secondary storage facilities, provided they meet the conditions required by the Archdiocese.

Records stored in any secondary storage facilities must be easy to locate and access. The Director of Information Management and Archives will maintain documentation about all records stored offsite to enable the records to be easily located when required.

Commercial providers of secondary storage must meet and maintain the storage conditions required by the Archdiocese.

To ensure the management of and access to paper-based records, their location will be recorded and updated with each movement of a record.

Digital Records

The will develop, implement and maintain procedures for ensuring that digital records are stored and maintained to ensure they remain available, accessible, retrievable and usable for as long as an ecclesiastical, canonical and business need exists or as long as legislative, policy and archival provisions require them to be kept.

All records held in digital format will be stored and maintained according to technology standards defined by the Director of Information Management and Archives.

Digital records of continuing or archival value will be stored and maintained to ensure their functionality and availability. When technological changes occur, such records will be migrated forward in accordance with technical requirements and the Archdiocese's retention and disposal schedule.

Any personal, sensitive or confidential digital records will be stored securely so as to protect against any unauthorised access.

Migration of records from one system to another will be controlled, documented and compliant with best practice as defined by ISO 15489.

Any records or information created or captured on mobile or smart devices will be transferred to approved storage, such as the records management system or business system, as soon as practicable to ensure appropriate management, storage, access and use.

Personal, sensitive or confidential records or information will be stored or transported only on mobile or smart devices that are approved by the Archdiocese. The records and information created or captured on such devices will be encrypted. It will be transferred to approved storage as soon as practicable.

Cloud Computing

Cloud computing services, a method of storing data on a server located externally and made accessible via the internet, may be used only in accordance with the Archdiocese's requirements for storage, maintenance, access and disposal.

The Director of Information Management and Archives will develop and maintain a checklist of requirements for cloud storage for use across the Archdiocese. The checklist will include, but not be limited to, ownership and control of the records stored, storage location, ownership and change of ownership of the cloud service, appropriate retention and disposal, and security and protection of the records, particularly personal, sensitive and confidential information.

Other Record Formats

Storage and maintenance of other record formats such as black and white and colour photographic media, magnetic media and optical media will be in accordance with the Office of Information Management and Archives' Retention, Disposal and Preservation Policy (see the Archives Manual).

SUPPORTING GUIDELINES

Not Applicable

SUPPORTING PROCEDURES

Refer to the Information Management Implementation Plan

RELATED POLICIES

Access, Use and Security Policy
Privacy and Confidentiality Policy
Retention and Disposal Policy

RELEVANT LEGISLATION AND STANDARDS (See also appendix 1)

ISO 11799:2015: Information and documentation -
Document storage requirements for archive and library materials

ISO/TR 19815:2018: Information and documentation -
Management of the environmental conditions for archive and library collections

National Archives of Australia Standard for the Storage of Non-digital Archival Records (2018)

ISO/TR 13028:2010: Information and documentation -
Implementation guidelines for digitization of records

Standards Australia. (2014). Electronic imaging - Information stored electronically -
Recommendations for trustworthiness and reliability (AS ISO 15801:2014).

RESPONSIBLE OFFICER

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APPENDIX 1: RECORDS MANAGEMENT STANDARDS

Records management standards are strategic business tools. They are used to assist organisations to manage and use records to meet their business needs, comply with good governance principles and meet legislative requirements.

This appendix presents a selection of the many industry-specific standards from Australia and overseas that may affect records management in Australian organisations. Please note that some of the New Zealand (NZ) and International Standards (ISO) have an equivalent Australian Standard (AS/SA) (Source: Information Enterprises Australia. (2020). The Australian Records Retention Manual.)

Australian Standards

Key Australian standards for records management include:

- AS 2828.1:2019. Health records, Part 1: Paper based healthcare records.
- AS 2828.2:2019. Health records, Part 2: Digitized health records.
- AS 5044.1:2010. AGLS metadata element set - Reference description.
- AS 5044.2:2010. AGLS Metadata element set - Usage guide.
- AS 5044.2:2010. AMDT 1-2011. AGLS metadata standard - Usage guide.
- AS/NZS ISO 13008:2014. Information and documentation - Digital records conversion and migration process.
- AS ISO 15489.1:2017. Information and documentation - Records management, Part 1: Concepts and principles. (An amalgamation of previous parts 1 and 2.)
- AS ISO 15801:2014. Electronic imaging - Information stored electronically - Recommendations for trustworthiness and reliability.
- AS ISO 18492:2006. Long-term preservation of electronic document-based information.
- AS ISO 19005.1:2006. Document management - Electronic document file format for long-term preservation - Use of PDF 1.4 (PDF/A-1).
- AS ISO 19005.1:2006. AMDT 1. Document management - Electronic document file format for long-term preservation - Use of PDF 1.4 (PDF/A-1).
- AS ISO 19005.1:2006. Rec:2016. Document management - Electronic document file format for long-term preservation, Part 1: Use of PDF 1.4 (PDF/A-1).
- AS ISO 19005.1. AMDT 2:2017. Document management - Electronic document file format for long-term preservation, Part 1: Use of PDF 1.4 (PDF/A-1).
- AS ISO 19005.2:2017. Document management - Electronic document file format for long-term preservation, Part 2: Use of ISO 32000-1 (PDF/A-2).
- AS ISO 19005.3:2017. Document management - Electronic document file format for long-term preservation, Part 3: Use of ISO 32000-1 with support for embedded files (PDF/A-3).
- AS ISO 22310:2006. Information and documentation - Guidelines for standards drafters for stating records management requirements in standards.
- AS ISO 22310:2006. Rec:2006. Information and documentation - Guidelines for standards drafters for stating records management requirements in standards.
- AS ISO 23081.1:2018. Information and documentation - Records management processes - Metadata for records, Part 1: Principles.
- AS ISO 23081.2:2007. Rec:2017. Information and documentation - Records management processes - Metadata for records, Part 2: Conceptual and implementation issues.
- AS/NZS 5478:2015. Recordkeeping metadata property reference set (RMPRS).
- AS/NZS 999:1999. Rec:2013. Information and documentation - Guidelines for the content, organization and presentation of indexes.
- AS/NZS 1015:2011. Records management - Physical storage.
- AS/NZS ISO 5127:2017. Information and documentation - Foundation and vocabulary.
- AS/NZS ISO 13028:2012. Information and documentation - Implementation guidelines for digitization of records.

- AS/NZS ISO 11798:2004. Rec:2016. Information and documentation - Permanence and durability of writing, printing and copying on paper - Requirements and test methods.
- AS/NZS ISO 15836.1:2018. Information and documentation - The Dublin core metadata element set, Part 1: Core elements.
- AS/NZS ISO 16175.1:2012. Information and documentation - Principles and functional requirements for records in electronic office environments - Overview and statement of principles.
- AS/NZS ISO 19115.1:2015. Geographic information - Metadata, Part 1: Fundamentals.
- AS/NZS ISO 19115.2:2019. Geographic information - Metadata, Part 12: Extensions for acquisition and processing.
- AS/NZS ISO 23081.2:2007. Rec:2017. Information and documentation - Records management processes - Metadata for records - Conceptual and implementation issues.
- AS/NZS ISO 23081.3:2012. Information and documentation - Managing metadata for records.
- AS/NZS ISO 30300:2012. Information and documentation - Management systems for recordkeeping - Fundamentals and vocabulary (ISO 30300:2011, MOD).
- AS/NZS ISO/IEC 17799:2006. AMDT 1:2008. Information technology - Security techniques - Code of practice for information security management.
- AS/NZS ISO/IEC 27001:2015. Information technology - Security techniques - Information security management systems - Requirements.
- AS/NZS ISO/IEC 27002:2006. Information technology - Code of practice for information security management.
- HB 178:2003. Rec:2016. (Also listed as ISO/TR 12654.) Electronic imaging - Recommendations for the management of electronic recording systems for the recording of documents that may be required as evidence, on WORM optical disk.
- HB 179:2003. Rec:2016. (Also listed as ISO/TR 12037.) Electronic imaging - Recommendations for the expungement of information recorded on write-once optical media.
- HB 180:2003. Rec:2016. (Also listed as ISO/TR 12036.) Micrographics - Expungement, deletion, correction or amendment of records on microforms.
- HB 5031:2011. Records classification.

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