Creation, Capture and Control of Records

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INTRODUCTION

The records 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.

The purpose of this records management policy is to ensure that complete and accurate records of all the ecclesiastical, canonical, parish and business activities and decisions of the Archdiocese are created, captured and controlled appropriately. This policy augments the Records and Information Management Strategy and the records management program in order to support the strategic directions and operational capacity and capability of the Archdiocese. It will also assist compliance with its various legislative and regulatory obligations.

OBJECTIVE

This policy aims to:

• Ensure 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;

• Ensure awareness and understanding of records management responsibilities with regard to the creation, capture and control of accurate, reliable and authentic records; and

• Ensure that records remain accessible and usable over time for as long as required to meet administrative, legal, fiscal and archival requirements.

SCOPE

This policy applies to all staff (paid and unpaid), including contractors, consultants and volunteers associated with the Archdiocese and all Archdiocese-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.

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.

POLICY STATEMENT

Staff must ensure that they create, capture and control official ecclesiastical, canonical, parish and business records of all decisions and actions made in the course of their official business. 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.

Creation and Capture

Records are to be created at the time of, or as soon as practicable after, the event to which they relate. All records created by the Archdiocese are to provide a correct and accurate reflection of any actions, decisions and/or communications.

Where possible and practicable, digital records should be created and captured rather than hardcopy records.

All of the Archdiocese's records must be created, captured and controlled within the approved recordkeeping systems.

Where it is not possible to create and capture a digital record, a hard copy must be made and placed in an official hardcopy file.

Once created, no additions or alterations should be made to an existing record. If additions or alterations are required, a subsequent record should be created and added using consistent metadata and naming conventions. This preserves the integrity, authenticity and reliability of a record.

All hardcopy records should be placed in an official file. That file must be registered in the Electronic Document and Records Management System (EDRMS) and given a unique identification number. File titles are to be created using the Archdiocese's Business Classification Scheme.

Control

Archdiocese records, digital and hardcopy, will be classified, and files titled in accordance with the Archdiocese's Business Classification Scheme. Approved naming conventions will apply.

Metadata templates will be developed and applied to ensure the appropriate control of and access to records.

All official outgoing correspondence and communications, including, but not limited to, letters, faxes, and emails, must carry a relevant file number.

Records are to be maintained in the various 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 the preferred recordkeeping systems with the appropriate metadata.

The primary and preferred recordkeeping system is an EDRMS. Where possible and practicable, all records created should be captured, controlled and stored in the EDRMS. Where possible, all incoming paper correspondence received by the Archdiocese should be converted to digital format and saved in the EDRMS.

The EDRMS, the Archdiocese's official records management system, supports and enhances the creation, capture, control and maintenance of authentic, reliable and usable records that meet the needs of the Archdiocese.

Approved recordkeeping systems may include the EDRMS, business systems and applications, and paper-based records management systems.

A register of approved recordkeeping systems used to create, capture and/or manage information and records will be maintained by the Archdiocese's Archives. Such systems will appropriately and reliably support records management processes such as creation, capture, storage, access, retention, destruction and transfer. In addition, they must provide suitable levels of security for, and protection of, the integrity and authenticity of records.

Shared drives, external drives, mobile and smart devices and email folders may not be used to store and maintain Archdiocese records. Doing so can compromise the completeness, reliability, integrity and accessibility of a record. Such practice is in contravention of Australian standard, AS ISO 15489.1:2017, Information and documentation - Records management. USBs may be used to transfer records but not to store them.

If a business system or application is decommissioned, arrangements must be in place to provide access to the records for the required period of their retention.

When a new business system or application is being designed, specified or purchased, the Director of Information Management and Archives must be consulted to determine the functional requirements for records creation, capture, control, management, storage and access.

Custodians of business information systems should be identified. They will be responsible for ensuring that the systems comply with the requirements to manage records in accordance with this and other relevant policies and procedures.

Training

Staff will be provided with training and support to assist them in creating, capturing and controlling records in line with this policy and its associated procedures.

SUPPORTING GUIDELINES

Not Applicable

SUPPORTING PROCEDURES

Refer to the Information Management Implementation Plan

RELATED POLICIES

Archives Management Policy
Records Management Policy
Retention and Disposal Policy

RELEVANT LEGISLATION AND STANDARDS

Australian Standard: AS ISO 15489.1:2017. Information and documentation - Records management.

RESPONSIBLE OFFICER

Director of the Office of Information Management and Archives
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APPENDIX 1: COMPLETE AND RELIABLE RECORDS

Complete and reliable records are records whose content, context and structure can be trusted and depended upon as a true and accurate representation of the transactions, activities or facts that they document.

The complete and reliable record must:

- Contain not only the content, but also the structural and contextual information necessary to document the relevant transaction and make sense of the content;

- Be meaningful – the record should be understandable by means of the information it contains and/or linkages, such as hyperlinks, that ensure the context in which the records were created and used is apparent;

- Contain only the amount of information or context it needs to be meaningful and not any extraneous information;

- Have context – the record should include metadata and information that show the business, legal and social context, relationships to other records or record systems, and the names of those who are responsible for the creation, management and/or use of the record;

- Be authentic – it can be proven and trusted to be what it says it is and to have been created, used and transmitted in the way and by the person (or agency) that it says it was created, used or transmitted by;

- Be secure – it must be protected to prevent unauthorised access, alteration or removal; and

- Be accessible – it can be located and accessed as required.

Adapted from Queensland State Archives, 'Full and Accurate Record',
https://www.forgov.qld.gov.au/glossary/full-and-accurate-record

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