



## ORDER OF AUSTRALIA ASSOCIATION

### RECORDS MANAGEMENT POLICY

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#### Table of Revisions

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#### Authorisation

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National Secretary





## 1. Introduction

### 1.1 Overview

The Order of Australia Association generates a substantial volume of records relating to its members, operations, finances and other activities. Sound records management is therefore essential for the efficient conduct of the Association's business and fundamental to the Association's commitment to transparency and accountability. It is also important in ensuring the preservation of the Association's collective memory and historical record.

### 1.2 Purpose

The purpose of this document is to articulate the policy and procedures governing records management within the Order of Australia Association in order to ensure that records of activities and decisions are created, managed and retained or disposed of appropriately, and in accordance with relevant legislation. This document expands on the broad requirements set out in the Association's Constitution and By-Laws.

### 1.2 Applicability

The policy and procedures outlined in this document apply to all officers of the Association. No officer of the Association is exempt from the policy.

The policy covers all Association records in any format and from any source.

### 1.3 Legislative/Regulatory Requirements

A wide range of legislation and regulations govern the Association's approach to records management. The following are the key documents:

- *Archives Act 1983* - establishes the requirement for the Association to create and keep records.
- *Australian Privacy Principle 12 – Access to Personal Information* – provides individuals with a right to access personal information about them held by the Association.
- *AS:ISO 15489.1 Information and Documentation – Records Management* - defines the concepts and principles from which approaches to the creation, capture and management of records are developed.
- *Australian Charities and Not-for-profits Commission Act 2012* – requires charities to keep records that correctly document and explain their net wealth and performance, and operations, so financial statements can be prepared and to allow for assessment activity.
- *Privacy Act 1988* – regulates how personal information is handled.



## 1.4 Definitions

<b>Authorising Officer</b>	Officer of the Association responsible for approving the destruction of Board/Branch/Regional Group records subject to the requirements of this policy. At each level, the standing Authorising Officers are the Chairman, Secretary, and Treasurer. In addition, the National Membership Director is an Authorising Officer for membership records. Other Authorising Officers may be appointed in writing if required.
<b>Business Classification Scheme (BCS)</b>	A classification structure that allows for like records to be grouped together based on business activities.
<b>Corporate Business System</b>	An approved business system used by the Association for the storage of records relating to a particular function.
<b>Metadata</b>	Data about data. Provides context to a record allowing it to be found, understood and used by others within the Association.
<b>Outlook 365</b>	A Microsoft Office 365 product, the Association's endorsed email system.
<b>Officer of the Association</b>	The President of the Association, a director of the Association, a member of a Branch or Regional Group Committee, a staff member, or a volunteer acting on behalf of the Association.
<b>One Drive</b>	A Microsoft Office 365 product, the Association's endorsed electronic documents and records management system.
<b>Permanent Record</b>	A record that has been identified as being worthy of preservation for business or historical reasons.
<b>Record</b>	Any information created or received by an officer of the Association, regardless of format or source, that is evidence of a business transaction or activity. A record records an action, policy, decision or decision-making process, renders the Association accountable or commits it to an action.
<b>StepSoft</b>	The Association's endorsed electronic membership records management system.



<b>Temporary Record</b>	A record identified by an authorised Authorising Officer as being temporary. Temporary records can be disposed of once their minimum retention has been reached and there are no further business or legal requirement for their retention.
<b>Xero</b>	The Association's endorsed electronic financial records management system.

## 2. Policy Statement

The Order of Australia Association's records are a corporate asset. Our records are vital for ongoing operations and to providing evidence of business decisions, activities and transactions. They are also important to ensuring the preservation of the Association's collective memory and historical record.

All Association records must be managed and maintained regardless of their format in an authorised records management system.

All officers of the Association are required to create and maintain authentic, reliable and useable records and protect the integrity of such records for as long as they are required through:

- Ensuring that full and accurate records are created and maintained for each business process followed in the Association;
- Preserving records, whether hardcopy or electronic, safely and securely;
- Ensuring that electronic records are saved and stored in the Association's endorsed record keeping systems, or other approved system, with appropriate metadata captured, and naming conventions used to enable their efficient retrieval and use;
- Ensuring records are accessible over time to support the conduct of business, and that they are only retained for as long as required by the agency and relevant legislation; and
- Assigning responsibilities for record keeping in the Association.

The Association aspires to implement systems and processes that will enable records to be stored in an electronic format wherever possible. The Association's authorised national level corporate business systems are One Drive (operational records), Outlook 365 (emails), Xero (financial records) and StepSoft (membership records).

Over time, historical hardcopy records will be examined progressively and either converted to electronic format for retention or destroyed, subject to the approval of an Authorising Officer.

For privacy and record keeping reasons, the Association also aspires to conduct its email traffic entirely in Outlook 365. Implementation will likely take some time and will be managed progressively by the National Secretary.



The Association acknowledges that in some small Regional Groups, there may be very few, if any, formal records. Nevertheless, Regional Group Chairmen must be cognisant of the provisions of this policy and comply where appropriate.

### 3. Responsibilities

The Board is responsible for ensuring that an appropriate records management policy is in place and appropriate compliance.

All officers of the Association are responsible for the management of all records created in the course of their work for the Association. This includes complying with this policy at all times.

Officers of the Association must be mindful that all records created in the course of their work for the Association are the property of the Association.

Specific responsibilities and accountabilities for records management include:

#### **National Secretary**

The National Secretary is responsible for:

- Ensuring that the Association's national records management system (One Drive) and email system (Outlook 365) satisfy operational and legislative requirements and obligations;
- Maintaining and extending the BCS according to the Association's requirements, following appropriate consultation;
- Implementing and continually improving the Association's records management system;
- Defining the Association's requirements for information, records and document management;
- Ensuring that officers of the Association are aware of their roles and responsibilities relating to records management;
- Managing storage of the Association's national hardcopy records;
- Managing the disposal of records and maintaining a register of destroyed records;
- Responding to requests from officers of the Association for assistance with the Association's records management system or other records management issues; and
- Maintaining and reviewing this policy and relevant documentation as required.



## **National Treasurer**

The National Treasurer is responsible for:

- Ensuring that the Association's national financial records management system (Xero) satisfies operational and legislative requirements and obligations;
- Ensuring that officers of the Association are aware of their roles and responsibilities relating to financial records management;
- Managing the disposal of financial records and maintaining a register of destroyed financial records;
- Responding to requests from officers of the Association for assistance with Xero or other financial records management issues;
- Authorising individuals appointed from time to time as Branch Treasurers to access Xero; and
- Approving Branch or Regional Group financial records management systems where Xero is not used.

## **National Membership Director**

The National Membership Director is responsible for:

- Ensuring that the Association's national membership records management system (StepSoft) satisfies operational and legislative requirements and obligation;
- Ensuring that officers of the Association are aware of their roles and responsibilities relating to membership records management;
- Managing the disposal of membership records and maintaining a register of destroyed membership records;
- Responding to requests from officers of the Association for assistance with StepSoft or other membership records management issues; and
- Authorising individuals appointed from time to time as Branch Membership Officers to access StepSoft.

## **Branch and Regional Group Chairmen**

Branch and Regional Group Chairmen are responsible for:

- Ensuring that their respective Branch or Regional Group maintains appropriate operational and financial records, either electronically in OneDrive, Xero or approved Branch/Regional Group electronics records managements systems, or in hardcopy;
- Ensuring that their Branch contributes to maintenance of Association membership records in StepSoft;
- Ensuring that Branch/Regional Group officers of the Association have appropriate awareness of Association and any approved Branch/Regional Group records management systems.



## Officers of the Association

All officers of the Association are responsible to handle records sensibly, with care and respect to avoid damage to them and to prolong their lifespan. Officers must not damage, alter or destroy records of the Association without authorisation.

Officers of the Association are responsible for using, maintaining and managing records in accordance with this policy and records management procedures.

This includes complying with this policy at all times by:

- Creating records that document their activities and decisions and saving them into Association's national records management systems or approved Branch/Regional Group systems;
- Undertaking electronic document management activities to ensure revision and version controls are captured;
- Ensuring significant email records are saved into the Association's records management systems or approved Branch/Regional Group systems;
- Ensuring that, where possible, paper records are scanned to electronic format and saved in the Association's records management systems or approved Branch/Regional Group systems;
- Storing hardcopy records securely;
- Not destroying records without authorisation and adhering to the Association's disposal requirements;
- Not losing records; and
- Being aware of the records management policies and procedures outlined in this document.





## 4. Procedures

### Creation and maintenance of records

Appropriate business records must be created and captured by all officers of the Association. Business records should provide a reliable and accurate account of decisions and actions, and must therefore include names, dates and times, and other key information needed to capture the business context.

Records can be folders, documents or data created, received or maintained as evidence of work done for or on behalf of the Association. Records may be either hardcopy or electronic, noting that the Association aspires to have records stored in an electronic format wherever possible.

To meet its obligations under the *ACNC Act* and the Association's Constitution and By-Laws, the Association must maintain appropriate operational and financial records. Operational records show how the Association is entitled to be registered as a charity. Financial records correctly record and explain how the Association spends or receives its money or other assets, correctly record and explain the Association's financial position and performance, and allow for true and fair financial statements to be prepared and audited or reviewed.

Examples of operational records include (but are not limited to):

- Governing documents, such as the Constitution, By-Laws and policies;
- Agendas, minutes and other meeting papers;
- Annual reports or other reports, such as on the results of programs or projects;
- Strategic and annual plans and program or project plans;
- Monitoring or evaluation reports;
- Correspondence;
- Contracts and agreements;
- Memoranda of agreement or understanding;
- Media releases and articles;
- Reports and submissions;
- Promotional materials including pamphlets and posters;
- Risk management registers and documentation; and
- Any other records that show the Association is working towards its charitable purpose, including electronic, written or multimedia records (such as short films about an Association project).

Examples of financial records include (but are not limited to):

- General account books, including general journal and general and subsidiary ledgers;
- Cash book records, including receipts and payments;



- Banking records, including bank and credit card statements, deposit books, cheque butts and bank reconciliations;
- Creditors' records, including creditors ledger, invoices and paid bills;
- Debtors' records, including debtors ledger, invoices and receipts;
- Details of any contracts, including service agreements, office equipment leases and property rental agreements;
- Details of any grant payments and acquittals;
- Tax invoices and other relevant tax records;
- Stock records;
- Records of payments to employees, including 'pay as you go' (PAYG), withholding, superannuation and fringe benefits provided;
- Records of payments to other officers of the Association, including reimbursement of expenses;
- Assets list or register; and
- Emails, letters and other communications about finance.

Ultimately, if a record contains a business transaction or evidence of any decision that has been made on behalf of the Association, it must be kept a period of seven (7) years.

### **Records that do not have to be kept**

Some records do not belong in the Association's records management system, including:

- External advertising material;
- Externally published newsletters that do not contain material created by or referencing the Association;
- Internal emails received by 'carbon copy' (cc) or 'blind carbon copy' (bcc);
- Junk email;
- Personal items including email;
- Rough notes, working papers and calculations used solely to assist in the preparation of other records such as correspondence or reports;
- Working papers (such as invitations) for very low-level Regional Group events where members pay as they go (rather than through the Regional Group);
- Copies of any documents preserved solely for reference;
- Electronic revisions of documents in OneDrive – these can be purged when a document is finalized.

Documents of this nature may be destroyed.

### **Corporate Business Systems**

Records generated within the Association in the course of normal business practice or received from an external source are to be registered and captured in the Association's corporate business systems.



The following corporate business systems are endorsed for the capture and storage of specific records:

- Operational records: OneDrive
- Emails: Outlook 365
- Financial records: Xero
- Membership records: StepSoft

These endorsed systems appropriately support records management processes such as creation and capture, storage, protection of integrity and authenticity, security, access and retention, destruction and transfer.

The Association aspires that its corporate records will not be maintained in personal email folders, drives or external storage media as these lack the necessary functionality to protect records over time and preclude access by other officers of the Association.

In the interim, where the Association's endorsed operational, email and financial records systems are not used, Branches and Regional Groups must seek approval from the National Secretary or National Treasurer for the use of proposed alternatives. In such cases, records should be appropriately backed up, either in different and secure electronic locations, or in hardcopy.

In order to ensure data integrity and privacy, master membership records may only be held in StepSoft. For working purposes, temporary copies of membership data may be created by officers of the Association who have been authorised by the National Membership Director to access StepSoft. Such copies must be accorded appropriate security and privacy controls. Once no longer needed, such temporary copies are to be destroyed.

Records created when using social media applications may need to be captured into an endorsed system.

### **Keeping hardcopy records**

Branches and Regional Groups may keep hardcopy records, noting that the Association aspires over time to keep all records in an electronic format wherever possible.

When keeping hardcopy records, Branches and Regional Groups should remember to:

- Organise the hardcopy records in files, boxes, folders or envelopes that enable the records to be found easily;
- Separate the different hardcopy records into categories (for example, bank statements, communications, minutes); and



- Separate the records according to the Association's reporting period, which is the calendar year 1 January to 31 December.

### **Access to records: sharing the Association's corporate information**

Information is a corporate resource to which officers of the Association may have access for the purpose of their work for the Association. Access restrictions should be applied to protect:

- Individual officer of the Association or member privacy; and
- Sensitive material such as commercial records.

Pending development of the Association's G8 Privacy Policy, officers of the Association involved with membership information should be aware of and conform with the relevant Privacy Acts applicable to their respective areas. In particular, officers of the Association with access to all or part of the Membership Database must not release this information to third parties. No other organisation has unfettered access to our membership information nor can they view the data. (This includes the OAA Foundation, which is a separate entity to the Association.)

Officers of the Association with access to the Membership Database are required to sign an Undertaking that they will not disclose any membership information to any unauthorised person, and that they understand the database is not to be used for commercial or private purposes (see Appendix 1).

### **Release of publicly available information**

Access to publicly available information will be provided on the Association's website. This is the responsibility of the National Secretary and Branch webmasters.

Under the Australian Privacy Principles (APP), individuals have the right to access all personal information the Association holds about them unless an exception applies. Responses to applications for access to personal information under the APP should be referred to the National Secretary for action.

### **Retention or destruction of records**

Under ACNC guidelines, Association records may be destroyed after seven (7) years.

Records may only be destroyed with the approval of an Authorising Officer.

Before approving destruction, Authorising Officers should consider whether records have historical or cultural significance that would merit retention.



Central to the Association's accountability process is the requirement to maintain a Register of Records Destroyed. This is the Association's formal evidential record of destruction and must be retained permanently by the Association.

## 5. Related Documents

This Policy is to be read in conjunction with:

- Constitution of the Order of Australia Association
- By-Laws of the Order of Australia Association
- G8 Privacy Policy (to be issued)
- A2 Administrative Support System Policy (to be issued)
- F1 Financial Management Policy (to be issued)
- F2 Financial Controls (to be issued)
- F5 Financial Reporting (to be issued)
- M1 Membership Framework Policy (to be issued)

Appendix:

1. Membership Access to Data Information Form – 1 November 2018



**The Order of Australia Association  
MEMBERSHIP ACCESS to DATA INFORMATION FORM  
As at November 1, 2018**

Thank you for the work you do for The Order of Australia Association (OAA). Office Bearers with access to the Order of Australia awardees database or the OAA Membership Database should be aware of the provisions of the relevant Privacy Act applicable to their Branch (State/Territory).

The databases are not to be used for private or commercial purposes.

Access to the OAA membership database is via password; no password is to be shared with other members, non-members or commercial entities.

Please complete the details below. When signed and dated please email the form to National Membership Office [natmbrdir@theorderofaustralia.asn.au](mailto:natmbrdir@theorderofaustralia.asn.au)

BRANCH \_\_\_\_\_

POSITION \_\_\_\_\_

NAME \_\_\_\_\_

ADDRESS \_\_\_\_\_

\_\_\_\_\_ P/code \_\_\_\_\_

EMAIL \_\_\_\_\_

By signing below, I express my understanding and agreement of the following:-  
I will not disclose any database lists including awardees and membership or other documents or information of the Order of Australia or the Association to any unauthorised person or third party without the prior approval of the National Chairman or National Membership Director in writing.

I understand that the databases are not to be used for private or commercial purposes and passwords are not to be shared.

Signed \_\_\_\_\_

Date \_\_\_\_\_