

RESPONSIBLE WOOD

POLICY 05

RECORDS MANAGEMENT

V1.0/2017



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1.1	Alan Snow	12/7/2010
1.2	Alan Snow Consulting (increase record retention from 7 to 10 years)	14/9/2011
1.3	Alan Snow Change title	4/11/2014
1.0	Simon Dorries-Updated for new organisational name and re-numbered	11/10/2017

RECORDS MANAGEMENT

1 Introduction

Responsible Wood recognises its responsibilities to provide a framework to initiate and maintain record keeping practices to meet its needs and accountability requirements that are compatible with relevant standards and reflect prevailing community concern for best practice.

The aim of this policy, especially for an accredited Standards Development Organisation, is to support the company's business in an efficient and accountable manner as well as to support and document decision-making processes be they enduring evidential or informational value for future reference.

The systematic creation, capture and maintenance of records is fundamental to the effective functioning of Responsible Wood and the protection and preservation of its corporate memory.

2 Scope

This policy applies to Responsible Wood staff that manage or perform record keeping processes be they created, collected, managed, protected or held by Responsible Wood.

This policy applies to all aspects of Responsible Wood's transactions and activities and incorporates records in all formats including hardcopy and electronic.

This Records Management Policy will be consistent with the objectives of Policy 03 Responsible Wood Management System.

3 Defining Records

For the purposes of this policy, a record is defined as recorded information of any kind, and in any form, that has been created or received and maintained by Responsible Wood as evidence in the business's transactions and the good conduct of its activities.

Information may be represented by, but not limited to, data in computer systems, paper, images, photographs, e-mail messages or registers and becomes a record when used as evidence of a transaction or activity.

4 Roles and Responsibilities

The Chief Executive Officer is responsible for

- Ensuring that records are created and managed in such a manner that they properly and adequately record evidence of Responsible Wood's transactions and activities.
- The protection of records from unauthorised access and release of information.

5 Defining Records Management

Responsible Wood performs business transactions and activities in an environment consisting of legislative requirements, ensuring standards, meeting best practice and the expectation of members, industry associations, Australian and State/Territory Governments, stakeholders and the general community.

Record keeping implements record management processes for:

- Capturing records;
- Registering records;
- Classifying records;
- Storing records; accessing records; and
- Disposing of records.

6 Records Management Program

Responsible Wood's records management program must ensure that records facilitate the business's operations to:

- Perform transactions and activities;
- Provide evidence of transactions and activities;
- Perform decision-making processes; and
- Form the corporate memory.

Responsible Wood staff are required to adhere to the following rules relating to the Responsible Wood's Record Management Program:

- a) proper and adequate records that document the performance of the business's transaction and activities must be created by all staff;
- b) the decision to capture a record involves the process of a deliberate determination that a record should be made and kept which supports the Record Management Program;
- c) records captured by staff should pertain to documented decisions, oral decisions and commitments including telephone discussions, meetings and other events;
- d) records captured, created and maintained should be full and accurate to the extent necessary to support the Record Management Program;
- e) records captured, created and maintained should be held in a suitable record keeping system which may be hardcopy (paper on files) or electronic (files in folders on a hard drive or CD) or, if suitable, both mediums for retention purposes;
- f) all information provided in hard copy must be placed in a designated file which pertains to the relevant transaction or activity of the business;
- g) all information provided in electronically generated documents/correspondence will be subject to b) prior to being placed in a designated file, saved in an electronic file or folder or, if suitable, both mediums for retention purposes;
- h) certain files should include a registration system based on date of the record for transactions or activities classified as of primary importance to the business;
- i) records held by Responsible Wood should be maintained in good order and condition;
- j) records captured, created and maintained must be stored in Responsible Wood's registered office and be available and accessible to all staff and the Board of Directors;
- k) records must remain available and accessible while they are required to meet administrative needs and external accountability requirements e.g. audits;

- l) no records are to be issued to parties outside of Responsible Wood;
- m) records must not be damaged, altered, disposed or destroyed except in accordance with directions from the Board;
- n) The integrity of all records must be preserved by ensuring that original documentation is not added to or altered in any manner; and
- o) A records register will be maintained which lists the

7 Process Records

Process Records will be maintained:

- where the absence of such records would reduce confidence in the quality of the product and/or service supplied by Responsible Wood; and
- To demonstrate compliance to SDAC Requirements.

Process Records are to be legible and identifiable, clear in intention and are to be self explanatory or supported by documentation that provides precise descriptions of each entry contained on the record.

Records are to be stored and maintained in such a way that they are readily retrievable in facilities that provide a suitable environment to prevent damage or deterioration and to prevent loss.

Process Records will be retained for a minimum of 10 years.

Process Records will be made available for evaluation by the SDAC Auditor and other interested parties.

Managers at all levels will, however, ensure that a paper copy is retained on an appropriate file of all records that require an original signature.

8 Records

File	Filename	Location
MS File Register	MS File Registry.xls	PMProcess\06-Document Development\06a Process Documentation\06a-v Registers

9 References

Policy 03 Responsible Wood Management System.