Policy and Principles

Preamble

The Diocese of Bathurst is committed to creating, preserving, organising and protecting records which describes the origin, growth and history of the Diocese to serve the Anglican community in keeping faith and historic memory alive, accountable, accessible and accurate.

Scope

This management plan applies to Diocesan records created and maintained by the Bishop, Registrar and staff of the Diocese and parish clergy as well as volunteers undertaking tasks for the Diocese and parish groups and committees. Includes

- Administrative documents (i.e. minutes, correspondence, reports)
- Pastoral and liturgical records
- Historical material including photographs and memorabilia
- Legal and financial documents
- Personal papers of clergy or staff when donated or archived

Definitions/Glossary

A list of definitions relating to records and archival management appears in **Appendix 1**

Standards, Legislation and Ordinances

STANDARDS:

AS ISO 15489.1: 2017 Information and documentation - Records management, Part 1: Concepts and principles

LEGISLATION:

- NSW Privacy Code of Practice (General) 2003
- Commonwealth Privacy Act 1988

DIOCESAN ORDINANCES:

- Administration Ordinance 2023
- Parishes Ordinance 2023
- Records and Archives Ordinance 2004-2005. (Under Review)

Responsibilities

The Bishop and Registrar are responsible for creating, preserving, organising and protecting records which describes the origin, growth and history of the Diocese to serve the Anglican community in keeping faith and historic memory alive, accountable, accessible and accurate. This is managed by:

- Establishing appropriated governance over the recordkeeping function and activities through the Ordinance and other regulations; Records and Archives Committee; and oversight of those activities.
- Ensure appropriate resources are dedicated to the ongoing maintenance of records across the Diocese.
- Establishing best practice standards, policies and practices for use in the Diocese.
- Implementing best practice records and archival management using approved policies and procedures, Retention and Disposal Authority.
- Ensuring clergy, staff and volunteers are appropriately trained and provided with clear direction and guidance to undertake the activities required.

Committee and Governance

The Records and Archives Committee has been established by the Registrar to overseas the management of the diocese records and archives ensuring that records are:

- created, maintained and preserved in physical and digital formats,
- provide records management and archival advice and guidelines to parishes and the Registry,
- ensure access to archives is provided appropriately,
- obtain for appropriate funding to manage archival processes,
- report annually to The Bishop, Bishop-in-Council, the Anglican Property Trust and the Cathedral Chapter.

Collection criteria

The Diocese records and archives collection consist of records created by The Bishop, the Diocesan Registry and Parishes. These records are appraised and sentenced then managed over the retention period.

The collection consists of records relating to:

- Management of the Episcopacy, governance of the See including executive records, legislation and regulations authorised by the Bishop and Registrar.
- Management of the Diocese, ordinances, professional standards, financial management.
- Legal cases, compliance, risk matters.
- Personnel records for clergy, staff and church volunteers.
- Property management including insurance, maintenance, leases and contracts.
- Communications and media management, information technology and security.

- Management of parishes including governance records, and safe ministry compliance.
- Parish operations including worship, pastoral care, mission and outreach and education.
- Parish administrative records relating to staff, finances, property, facilities and communications.
- Information management processes and procedures.

Other records can be added to the collection which relate to the history, culture and activities of the Diocese by donations. These include:

- Orders of service.
- Parish histories.
- Photographs.
- Memorabilia.
- Personal diaries and letters of significant people in the life of the Diocese i.e. Former Bishops, Registrars etc.

These require a Deed of Gift transferring custody and control to the Diocese. Donations which do not meet these criteria can be refused.

Use **Archives Form 1: Deed of Gift**

Registration and Control

All records being managed as an archive or of long-term value to the Diocese must be controlled to enable easy access for use and accountability over time. This usually occurs in a records management system and where this is not possible a database or spreadsheets can be maintained. This will show locations, container/boxing details and any use, movement or loan of material.

The Diocesan Registry maintains a Control Listing in an EXCEL spreadsheet divided by location. Each location indicates shelf locations, the title of the record and if boxed, the date range of material, the Retention Authority details and Code and any notes on condition of material, if on loan, etc.

Access and Privacy principles

Diocesan records are available to the public and staff unless closed or restricted. Public records are those available on the Diocesan website, have been published or otherwise made publicly available. These include:

- Synod papers.
- Annual reports.
- Orders of services, published sermons, pew sheets, newsletters, etc.

The Retention and Disposal Authority notes if a record series is open, restricted or closed. Many records contain personal information and can only be made available to authorised people. Requests for access can be made to the Registrar for research purposes. Permission to publish material obtained in researching the archives must be obtained from the Registrar.

Enquiries relating to information in parish registers can be made to Rector's or to the Diocesan Registry. A fee for some searches may be charged if records have to be recalled from offsite storage or will involve more than 30 minutes search time.

Any enquiries about minors or any suggestions to do with child abuse should be referred to the Diocesan Registry or Director of Professional Standards.

PRIVACY PRINCIPLES

There are a number of principles relating to Privacy in Australia which should be met in relation to records. They relate to:

- When collecting information, it must be lawful; directly related to a person; open about use; and relevant to the activity.
- The storage of the data must be secure and be protected from loss, unauthorised access, use, modification, disclosure and all other misuse.
- Data must be accessible and accurate allowing for alterations to ensure that personal information is accurate, relevant, up to date, complete and not misleading, when considering the purpose for which it is to be used.
- The data must be accurate at time of use and only used for the purpose it is collected
- The data must be restricted and safeguarded to be used only for the purpose it is collected and to authorised people.

For further information refer to the NSW Privacy Commissioners facts sheet. Fact sheet - Information Protection Principles for the public, updated April 2023

Use the **Archives Form 5: Metadata Capture** Spreadsheet to collect as much information about material being added into the Archival Collection. This will enable easier registration into the Control Spreadsheet.

Disposal Policy

Records must be disposed of appropriately. Records are to be retained for as long as they are required to meet the Diocese business needs and legal obligations and then promptly disposed of in accordance with the following:

a) Establishing minimum retention periods as well as records to be held permanently. These are set out in the retention and disposal authority.

b) Approval and signed authorisation for the destruction of records must be sought from the appropriate Diocesan staff before any disposal takes place.

c) Records which are subject to current or pending legal proceedings or formal investigation must not be disposed of until no longer required.

d) All disposal actions are to:

   i. Be managed by or with the express approval of the Registrar,

   ii. meet the best practice standards for disposal,

   iii. be documented and placed in appropriate section of Archives folder on SharePoint.

Best Practice Standard for disposal

- Records and information are kept for as long as they are needed for business, legal and accountability requirements.
    - Policy, business rules and procedures identify how the retention and disposal of records and information is managed.
    - Records and information are sentenced according to current authorised retention and disposal authorities
    - Records required for permanent retention are forwarded to The Diocesan Registry when no longer in use for official purposes.
- Records and information are systematically and accountably destroyed when legally appropriate to do so.
    - Policy, business rules and procedures identify how the destruction of records and information is managed, including deletion of data.
    - Records required for permanent retention are forwarded to The Diocesan Registry when no longer in use for official purposes.

Retention and Disposal Authority

A Retention and Disposal Authority has been developed, and approved, for use in the Diocese after an appraisal of the records created and used in the Diocese and review of appropriate legislation, regulations and standards to determine the retention of each record series.

The Authority lists all the record series, provides a definition and examples of the types of records, how long records should be kept and is temporary notes the minimum time records need to be kept before destruction.

This is available from the Diocesan Registry.

Training

Training and guidelines will be provided to staff and volunteers involved in the management of Diocesan records and archives. These will be provided and promoted by the Records and Archives Committee in conjunction with the Registrar to ensure all records are created, maintain, preserved and accessible when required. Training can consist of:

- Face to face workshops run in larger centres across the Diocese.
- In-house training or mentoring in the Diocesan Registry.
- Guidelines and Facts Sheets available from the Diocesan Registry.
- Promotion of courses and seminars run by other agencies.

Resources

READING:

Bettington, Jackie, et.al.: *Keeping Archives* 3rd Edition, 2008, Australian Society of Archivists Inc. (Now only available in digital format from the ASA https://archivists.org.au/Web/Web/Resources/Keeping-Archives.aspx)

RETENTION AND DISPOSAL AUTHORITY

A copy of the Diocese approved RDA can be obtained from the Diocesan Registry.

RECORD SETS – OUTLINES:

Record Sets and Definitions for Diocesan Registry

Record Sets and Definitions for Parishes

FORMS:

Archives Form 1: Gift/Donation Form

Archives Form 2: Enquiries Application Form

Archives Form 3: Transfer List

Archives Form 4: Destruction Authorisation Form

Archives Form 5: Metadata Capture for Collection Management (Spreadsheet)

Appendix 1

Definitions as used records and archival management

Access	Right, opportunity, means of finding, using or retrieving information.
Active Record	Records in frequent use, regardless of their date of creation, required to perform current business operations, usually easily accessible to the user(s). Also referred to as 'current records'.
Appraisal	Evaluating business activities or functions to determine what records need to be captured and how long they need to be kept in order to meet business needs and organisational accountability and community needs.
Archival value / enduring value	The ongoing usefulness or significance of records, based on the evidential, administrative, financial, legal, informational and historical values that justify the permanent retention of records as archives.
Archives	records of organisations and individuals that have been selected for permanent retention on the basis of their continuing value for legal, administrative, financial or historical research purposes.
Born digital	Document, record or object, that was originally created in digital form. The term is used to differentiate native digital objects from digitised material.
Custody	The responsibility for the care and management of archives, based upon their physical possession. Custody does not always include legal ownership, or the right to control access to records.
Destruction	Process of physically destroying, eliminating or deleting records beyond any possible reconstruction. Destruction of records needs to be authorised and documented.
Digital archive	A designated repository for the storage of digital archives, which ensures that archives are managed and protected, and able to be made accessible.
Digital preservation	The processes and operations necessary to ensure the continued survival of, and access to, digital records for as long as they need to be kept, protecting them from media failure or technological change. This can involve activities such as the ongoing monitoring, migration and storage of records and metadata management.
Disposal	The processes associated with implementing records retention, destruction or archival transfer decisions as documented in retention and disposal authority.

Document	Document means any record of information, and includes: - anything on which there is writing, or - anything on which there are marks, figures, symbols or perforations having a meaning for the person qualified to interpret them, or - anything from which sounds, images or writings can be reproduced with or without the aid of anything else, or - a map, plan, drawing or photograph.
Inactive record	A record not required for immediate business operations, but which needs to be kept to provide evidence of business activities, for legal or regulatory requirements (including the requirements of retention and disposal authorities), or societal expectations.
Information Management	Planning, collection, control, distribution and exploitation of data and information resources within an organisation, including systems development, and disposal or long-term preservation.
Item	Smallest intellectually indivisible unit of a record, such as a letter, memorandum, report, photograph, sound recording.
Metadata	Descriptive information, which enables the creation, management, and use of records through time and within and across organisations. It shows users when, why and by whom records were created or maintained.
Migration	Process of moving records from one hardware or software configuration to another without changing the format.
Personal information	The *Privacy and Personal Information Protection Act 1998* defines personal information as information or an opinion about an individual whose identity is apparent or can be reasonably be ascertained from the information or opinion.
Preservation	All measures taken, including financial or strategic decisions, to maintain the integrity and to extend the life of documents or collections. These can include conservation treatment, digital conversion, migration, digitisation, environmental controls (such as temperature and humidity) and physical housing.
Privacy	An individual's right to control the exposure of information about themselves to others. This includes information about their views and their behaviours, as well as personal information about their ages, physical location, and financial details.
Record	Information in any format created, received, and maintained as evidence and as an asset by an organisation or person, in pursuit of legal obligations or in the transaction of business. See also "Archives", "Active record", "inactive record" and "temporary record"

Records Series	A group of records which result from the same business or recordkeeping activity, have a common system of control or relate to a particular subject or function, have a similar format, or have another relationship arising out of their creation, receipt and use.
Sentencing	The process of identifying and classifying records according to a retention and disposal authority and applying the disposal action specified in it.
Source records	Documents or records that have been copied, converted or migrated from one format or system to another. The source records are those that remain following the successful conversion or migration. Source records may be original records or reproductions generated by an earlier copying, conversion or migration process.
Sustainable file formats	File formats best suited for long-term retention and accessibility. They are: - widely used and supported identifiable and well documented - open or independent of any software or vendors unencrypted - stable and backwards/forward compatible minimally compressed. Their specifications are known and trusted, and support metadata objectives.
Temporary records	Records that do not possess archival/enduring value. Temporary records have been appraised in accordance with authorised retention and disposal authorities. These records are kept for a specific period of time to meet legislative, business or community requirements, and once this time expires the records can be destroyed.
Transfer	Involves change of custody, ownership and/or responsibility for records. Transfer of records as permanent archives is a formal process involving the removal of permanent records from the control of the parish or registry section which created or inherited the records and passing control and physical custody of those records to The Registrar of the Diocese for ongoing management.