



U3A in Toowoomba Inc
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POLICY FOR RECORDS MANAGEMENT

Preamble

Recordkeeping should be a regular and routine part of the business activities of U3A in Toowoomba. Through good recordkeeping, records can be identified, captured and kept in an accessible and useable format to preserve their integrity for as long as they are required.

Benefits derived from effective records management include –

- Increased knowledge of the Management Committee's records holdings.
- Identification of records which can be destroyed.
- Identification of permanent and vital records.
- Increased awareness of the importance, identity and location of information.

1. Purpose

Section 47 of the Constitution of U3A in Toowoomba Incorporated states that *“The management committee must ensure the safe custody of books, documents, instruments of title and securities of the association”*.

An action of the Management Committee’s Strategic Plan is to appoint an archivist. Diann O’Mara was appointed as the archivist at the management committee meeting on 2nd April 2014.

Adoption of a Records Management Policy and Procedure provides a framework for the functions of the archivist.

2. Scope

The Archivist will –

- Establish a database or databases as required to retain the electronic records.
- Identify and record electronically all existing records.
- Capture, record and manage all new records.
- Manage records as **Documents and Photos** pertaining to the activities of the Management Committee and of U3A in Toowoomba in general.
- Establish, maintain and update **Recordkeeping Registers** as required.

- Electronically record archived data. Archived data comprises any Documents and Photos which have reached the retention date.
- Remove and destroy physical records in compliance with the 7 year retention period with the exception of the Management Committee Minute Books and U3A in Toowoomba Constitution and By Laws documents.

3. Policy

This records management policy will contribute to the building of the corporate memory of U3A in Toowoomba. It will centralise the diverse pieces of information retained in various repositories and provide ready recall of key events in our corporate and social history.

REVIEW This policy should be reviewed every two (2) years or earlier if required by changes in circumstances.

4. Procedure

4.1 Documents and Photos will be categorised as -

- Publicity and Events
- Audit Reports
- Course Information and Newsletters
- Management Committee Minutes
- U3A President at Local, State & National Level
- Tutor and Training Material.
- Policies
- Admin Staff, Committee Members & Volunteers.

These categories may have to be amended according to needs. Amendments as, approved by the committee, will be recorded in the Appendix without the need to amend the policy.

Documents and Photos categories will comprise Appendix 1.

4.2 Recordkeeping Registers will comprise -

- U3A Audit Reports Register
- U3A Course Information & Newsletters Register
- U3A Management Committee Minutes Register
- U3A President at Local, State & National Level Register
- U3A Tutor & Training Material Register
- U3A Policies
- U3A Toowoomba Admin Staff, Committee Members & Volunteers
- **U3A Document Movement Register** (to track the removal and return of physical documents from their original housing place, as per the Register under their subject name.)

Register may have to be amended according to needs. Amendments as, approved by the committee, will be recorded in the Appendix without the need to amend the policy.

Recordkeeping Registers will comprise Appendix 2. The Recordkeeping Registers are a component of the electronic records retained in BOX. The archivist maintains and retains physical Recordkeeping Registers folders which are updated as various records are managed. U3A Document Movement Register will be retained with the physical records in the Computer Lab storage cupboard.

4.3 Electronic data will be stored on BOX, the cloud storage used by U3A in Toowoomba Inc, and the U3A computer provided for the archivist's use. Data will be backed up on a portable hard drive, Hard Drive A. Archived data will be backed up a portable hard drive, Hard Drive B. Hard Drives A and B will be held in the custody of the archivist.

4.4 Storage of Physical Records –

- Storage containers identified as numbered boxes are located in the Computer Lab storage cupboards.
 - Box No. 1 contains Course Information.
 - Box No. 2 contains Committee Minute Books.
 - Box No. 3 contains Committee Minute Books. Additional boxes will be created as this box fills.
 - Box No. 4 contains Tutor & Staff Training material.
- U3A President at Local, State & National Level – Retained by President Rhonda Weston as the physical records are her personal property.
- Current Minute Book and correspondence – Retained by the Secretary.
- All financial transaction documents used to compile Financial Reports – Retained by the Treasurer.
- The following documents are located in the U3A office under the custody of the administration officer -
 - Audit Reports
 - Policy Documents
 - Administration Staff, Committee Members and Volunteers Documents
 - Facility Leases and Agreements.

4.5 Activities requiring regular reporting to the Archivist by Committee Members are -

- **Publicity & Events.** Copies of media releases, date claimers and similar pre-event publicity to be provided by the Publicity Officer.
A Publicity and Events Clippings folder is mounted on the notice board in the U3A office. All committee members are encouraged to peruse local newspapers and cut out articles pertaining to U3A activities and place them in the folder for the archivist. Clippings must have the name of the publication and the date of the publication included.
- **Minutes and Monthly Reports.** Each meeting of the Management Committee as well as General Meetings and Annual General Meetings deal with a number of reports. The physical minutes of these meetings are retained in the minute book by the secretary. The electronic record comprises the minutes and all reports consolidated into a single PDF file. To prepare this single PDF file the following documents are required –

DOCUMENT	FORMAT	RESPONSIBLE OFFICER
Treasurer's Report	MS Excel or PDF report from Reckon	Treasurer
President's Report	MS Word or PDF	President
Tutor Coordinator's Report	MS Word or PDF	Tutor Coordinator
Membership Report	MS Word or PDF	Membership Secretary
New Members	MS Word or PDF if a single page but not if multi-page	Membership Secretary
Project Officer Reports	MS Word or PDF	Responsible Project Officer
Archive Report	MS Word	Archivist
Minutes	MS Word	Secretary

- All the report documents are added to the minute's document and saved as a PDF document.

4.6 Additional material has to be provided to the Archivist from time to time. Appendix 3 comprises the *Persons Responsible For Providing Data to Archivist* document.

RETENTION PERIODS

- Minutes of Management Committee meetings, minutes of Annual General Meetings, General Meetings and special meetings of the Management Committee will be retained permanently in both physical and electronic format.
- Constitution and By Laws Documents will be retained permanently in both physical and electronic format.
- All other records will be retained in both physical and electronic format for seven (7) years.
- Deletion, archiving and destruction of records will be carried out in the first semester of each year.

APPENDIX 1

Documents and Photos will be categorised as -

- Publicity and Events
- Financial Audit Reports
- Course Information and Newsletters
- Management Committee Minutes
- U3A President at Local, State & National Level
- Tutor and Training Material.
- Policies
- Admin Staff, Committee Members & Volunteers.
- Asset Audit Reports.
- Facility Leases and Agreements

Documents and Photos categories as at 3 May 2017.

APPENDIX 2

Recordkeeping Registers will comprise –

- Publicity and Events Register
- Financial Audit Report Register
- Course Information and Newsletters Register
- Management Committee Minutes Register
- U3A President at Local, State & National Level Register
- Tutor and Training Material Register
- Policies Register
- Admin Staff, Committee Members & Volunteers Register
- Asset Audit Report Register
- Facility Leases and Agreements
- U3A Document Movement Register (to track the removal and return of physical documents from their original housing place, as per the register under their subject name.)

Registers as at 3 May 2017

Appendix 3

PERSONS RESPONSIBLE FOR PROVIDING DATA TO ARCHIVIST

SUBJECT/Topic	PERSON RESPONSIBLE	DUE DATE
Publicity & Events Photos	Dianne Turner	As occurs
President's Scrapbook	Rhonda Weston	As occurs
Management Committee Minutes with all reports presented at the meeting compiled into a single document.	Anna Carson	After each meeting
Financial Reports	Trish Cameron	After each meeting.
Membership & Newsletter Reports	Newsletter - Rhonda Weston; Membership - Michelle Pullinger.	After each meeting.
Tutor Co-ordinator's Report	David Weston	After each meeting.
Archivist Report	Diann O'Mara	As occurs
Policy (Constitution)	Mick O'Mara	After sign off
Policy (By Laws)	Mick O'Mara	After sign off
Policy (Strategic Plan)	Mick O'Mara	After sign off
Policy (Risk Management)	Mick O'Mara	After sign off
Policy (Operational Procedures)	Mick O'Mara	After sign off
Policy (Privacy)	Mick O'Mara	After sign off
Policy (Code of Conduct)	Mick O'Mara	After sign off
Policy (Grievance)	Mick O'Mara	After sign off
Policy (Records Management)	Diann O'Mara	After sign off
Audit Reports	Trish Cameron	At completion of audit
Course Information & Newsletters	Rhonda Weston	On completion
Admin Staff, Committee Members & Volunteers (Procedure Manuals)	Mick O'Mara	After document has Management Committee Approval.
Admin Staff, Committee Members & Volunteers (Position Descriptions)	Mick O'Mara	After document has Management Committee Approval.
Admin Staff, Committee Members & Volunteers (Employment Contract Template)	Rhonda Weston	On completion
Admin Staff, Committee Members & Volunteers (Employee Induction Checklist)	Rhonda Weston	On completion
Tutor & Staff Training (Training Materials – Handouts)	David Weston	On completion
Tutor & Staff Training (Power Point presentations)	David Weston	On completion
Tutor & Staff Training (Training Notes)	David Weston	On completion
Tutor & Staff Training (Training Evaluation Results)	David Weston	On completion
Facility Leases & Agreements	Rhonda Weston	After sign off
Asset Audit Report	Dennis Bateman	Electronically