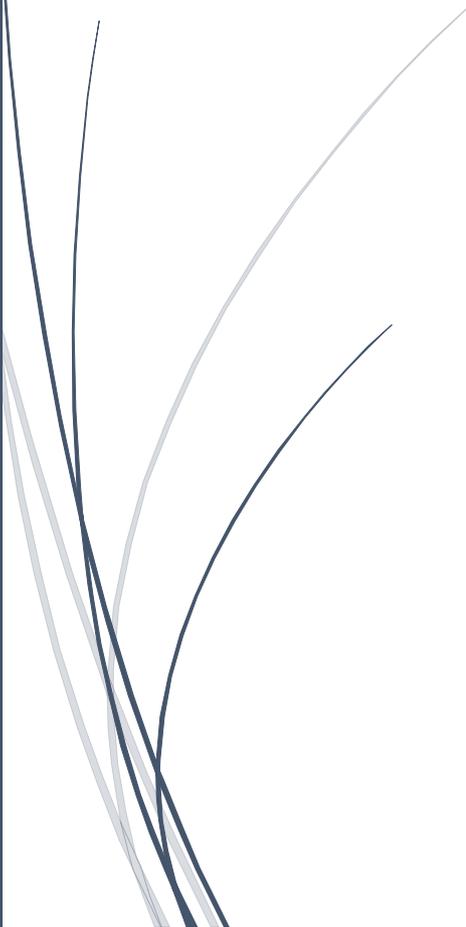




May 2018

Records Management Policy

Franciscan Province of Ireland





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franciscan province of ireland

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FRANCISCAN PROVINCE OF IRELAND

RECORDS MANAGEMENT POLICY

The Franciscan Province of Ireland has an ethical responsibility to maintain the highest standards of confidentiality in the safeguarding of information about its members, staff members and those individuals, donors, agencies and others that interact with the Province.

Information collection is essential to the Province in fulfilling its duties. The Records Management Policy of the Franciscan Province of Ireland extends to all records both manual and computer. A Records Management Policy aims to safeguard the collection, retention and use of all information and confers obligations on all friars, staff and volunteers in order to do so.

Why do we keep Records?

We create records to support and enable us to conduct our business process, to ensure accountability, to fulfil our legal obligations and to ensure the continuous operation of Franciscan affairs. As such, records have administrative, evidential, legal, fiscal and historic value. With regard to legislation most notably the Data Protection Act 1988, Amendment Act 2003 and EU GDPR 2018, we are obliged to keep up-to-date records and efficient means of accessing them to fulfil our legal commitments. This Records Management Policy works in tandem with the Franciscan Data Protection Policy and Privacy Statement which is available on our website www.franciscans.ie.

How Records Management Works.

The laws outlined above place a serious obligation on the Province to ensure records are captured within a comprehensive and effective Records Management System.

The following are activities that need to be conducted for a Records Management system to function.

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Current Records – are those that are held on site in offices and are used on a very regular basis.

Access to these records must be limited to authorised users only.

Manual records must be filed in a way that enables them to be located easily.

When not in use, Records must be kept locked away.

When stepping away from your computer always log-out.

If using a computer in a public area always tilt your screen away from view.

Computer Records must be password protected.

Computer Records must be organised in such a way that they are easily retrieved (It should be possible to locate records within 5 clicks of a mouse).

Computer Records must be encrypted and backed up to a server.

Non-current Records – are records that are needed for occasional reference but can be kept in a storage area.

Manual records must be filed in a way that enables them to be located easily.

Manual records must be locked into a storage area accessed only by authorised users.

Non-current computer records can be saved to a back-up server or a portable device. (Bear in mind that portable devices such as USB keys, CD/DVDs are liable to obsolescence and should be monitored)

Disposition – this refers to records that should either be sent for archiving or disposed of in a responsible manner.

Archives are records which have permanent or historical value to the organisation.

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Disposal of Records

The Franciscan Province of Ireland insures that all records are disposed of with due care and confidentiality. A reputable shredding company is used for disposal of documents, on site and in view of a selected overseer who is then provided with a certificate of safe disposal.

Records Survey.

The Archivists of Ireland recommend that a Records Survey should be conducted as an indicator of the type of records held by an organisation to facilitate the formation of a Records Schedule. Some records have legal obligations attached to them.

Records Schedule Guide

Current Records (in office)

General Administration 1 year approx.. then send to storage

Accounts/Finance 1 year approx.. then send to storage

Non-Current Records (storage)

General Administration 3 years then either dispose, or, if historically interesting, send to archives

Accounts/Finance 7 years then dispose or send to archives

Human Resources

1 year for unsolicited applications

1 year post termination

2 years applications and interviews

3 years hours/annual leave

5 years work permit

7 years pay records (see accounts/finance)

8 years carers leave/parental leave etc.

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Garda Vetting

5 Years – (Duration of Vetting Process)

Safeguarding

Files relating to Criminal Investigations have no retention schedule and are retained on a permanent basis.

The main reasons identified for the need of an efficient and effective records management system are as follows...

- To manage the creation and growth of records
- To improve efficiency and productivity
- To assimilate new records management technologies
- To ensure regulatory compliance
- To minimise litigation risks
- To safeguard vital information
- To support better management decision making.
- To preserve the Order's memory
- To foster professionalism

Vital Records.

A list of vital records is held by the province. These include... Minutes of meetings, financial information, legal documentation etc. It is recommended that vital records be duplicated with one set being stored on site and the other off site in case of a disaster such as fire. (records can be stored on disc and retained in a fireproof safe).

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Legislation.

The Data Protection Act

The Data Protection Act 1998/2003 and GDPR 2018 covers information both computer and manual. The Province undertakes key responsibilities in relation to Personal Data. These are summarised in the 8 rules of Data Protection and further information is available in our Privacy Statement and Data Protection Policy which is available on our website at www.franciscans.ie.

1. Obtain and process the information fairly
2. Keep it only for one or more specified and lawful purposes
3. Process it only in ways compatible with the purposes for which it was given to you initially
4. Keep it safe and secure
5. Keep it accurate and up-to-date
6. Ensure that it is adequate, relevant and not excessive
7. Retain it no longer than is necessary for the specified purpose or purposes
8. Give a copy of his/her personal data to any individual, on request.

These provisions are binding on every data controller. Any failure to observe them would be a breach of the Act.

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Characteristics of the Franciscan Province of Ireland Records Management Policy Statement.

Compliant: Records should comply with the record keeping requirements arising from the regulatory and accountability environment in which we operate.

Complete: Records should contain relevant data, along with the structural and contextual information that is necessary to document our transactions.

Comprehensive: Records will document the complete range of the Order's business. Records will be made for all business transactions for which any kind of evidential requirement exists.

Accurate: Records will accurately reflect the transactions that they document. Our processes and systems will be designed to make it easy to make accurate records of transactions.

Authentic: It will be possible for us to prove that records are what they purport to be and that their purported creators did in fact create them.

Inviolable: Records will be securely maintained to prevent unauthorised access, alteration or removal. Information contained in a record will not be deleted, altered or lost once the transaction that it documents has occurred. Where information is added to an existing record, the added information will be initialled and dated. In the case of electronic records, changes and additions will be identifiable through audit trails. Information should never be added to a record in a manner that suggests it is part of the original record. Records that are migrated across changes in technology need to ensure that the evidence preserved remains authentic and accurate.

Timely: It is proposed that records will be so maintained as to be timely, i.e., available to those who need them when they need them and kept in an accessible and secure fashion.

Best practice: It is expected that all staff will adopt a best practice attitude to records management in general. The following areas are fundamental in the management procedures of Franciscan Records in line with current legislation -

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storage of confidential records, back-up procedures, records scheduling, records destruction procedures etc.

Aidan McGrath OFM

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Minister Provincial,
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