



# IQA Policy P31

National  
Secretariat

## Archival and Records Management

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### Introduction

All material, electronic or otherwise, created by employees, contractors and volunteers of The Institute ('IQA') in the course of their employment or contract is the property of the IQA. The correct management of information is an integral element of the organisation's governance framework. The IQA has implemented an electronic-based system to support the ongoing management of IQA information

### Purpose

To help employees, contractors, Branch & Sub-Branch committee members determine what information under normal administrative practices should be stored or archived:

### Definitions

Ephemeral records means records of little value that only need to be kept for a limited or short period of time. Ephemeral records have no continuing value to the IQA and, generally, are only needed for a few hours or a few days.

## 1. Policy

### 1. Retention and disposal of records

**1.1 Drafts that must be retained** include those which document significant information that is not contained in the final form of the record. Some examples include:

- Drafts containing significant or substantial changes or annotations, such as a Branch / Sub-Branch committee report circulated for comment and annotation amongst the members of the committee;
- Drafts relating to the formulation of policy and procedure where the draft provides evidence of the processes involved or contain significantly more information than the final version of the record;
- Drafts of legal documents (contracts, etc.).  
Drafts of correspondence with any third party that involves matters including legal advice, insurance policies, auditor etc

**1.2 Drafts that can be disposed of** are those draft documents or routine working papers used for the preparation of such documents as:

- budgets;
- charts;
- correspondence;
- file notes;
- minutes;
- reports;
- spreadsheets.

### **1.3 Working papers/records**

These are background notes and reference materials used to prepare and complete other documents.

Working papers/records that must not be disposed of include those which document significant information that is not contained in the final form of the record. E.g.: working papers/records that contain substantial and valuable material not found elsewhere.

### **1.4 Computer support records**

Computer support records which support significant functions of the IQA and which may be needed as evidence of particular activities, must be retained for the required retention period. A clear example of such records are those that provide audit trails.

### **1.5 Messages**

Messages include many record formats: email, voice mail, faxes, "Post-it" notes, telephone messages etc. If they have no continuing value, or have been copied on to a relevant file, they may be destroyed.

### **1.6 Stationery**

Unused stationery may be destroyed when obsolete.

### **1.7 Publications by or on behalf of the IQA (Heritage and Archives)**

Publications that are not of an ephemeral nature (leaflets, flyers etc.) are required to be retained as IQA archives indefinitely.

Heritage and Archive material must be appropriately boxed, labeled noting exact contents and date range, and forwarded to the Finance Office for transport into storage.

## **2. Guidelines for the retention and disposal of Branch-held and National Office records**

The following guidelines are based on the recommendations and guidelines of the Chartered Secretaries of Australia Ltd. The guidelines are intended to be used by all administrative areas of the IQA including Branch Administration, Membership Services, Education Office and Finance Office.

The list is not exhaustive. Should you have any questions regarding the disposal of records please contact the Company Secretary.

Please note, disposal of official records at Branch level is only to be conducted by Branch Administrators and Treasurers.

### **2.1 Branch Committee and Administration Records**

Given the importance of Branch committees in the operation of the IQA, it is important that they be managed properly.

IQA Branch Records, Minutes and all other source documents, not previously forwarded to the National Office by either hardcopy or electronically, should be appropriately boxed, labeled noting exact contents and date range, and forwarded to the Finance Office for transport into storage.

### **2.2 Membership Services Records**

Given the confidentiality of the personal information collected both hardcopy and electronically, all membership records and updates should be archived in accordance with Schedule A, appropriately boxed, labeled noting contents, date range and forwarded to the Finance Office for transport into storage.

## 2.3 Education Office Records

Given the confidentiality of the personal information collected both hardcopy and electronically, all course records, including but not limited to registration forms, MOU's, facilitator and venue contracts, should be archived in accordance with Schedule A, appropriately boxed, labeled noting contents, date range and forwarded to the Finance Office for transport into storage.

## 2.4 Finance Office Records

The IQA's Administrative Correspondence includes, though is not limited to, confidential management information, employee and contractor-related information, and project-related correspondence.

The IQA's fiscal correspondence includes all information related to revenue and expense for the organisation.

The IQA's general correspondence covers information that relates to customer and member interaction and the operational decisions of the organisation. The individual employee / contractor is responsible for email retention of General Correspondence where this is likely to be of continuing usefulness.

As a general rule, Section 1101C of the Corporations Act 2001 requires:

- That company registers be preserved for five (5) years after the day on which the last entry was made in the register,
- Financial records be preserved for at least seven (7) years after the transactions covered by the record are completed,
- Other records which are required to be kept under the Corporations Act 2001 be preserved for five (5) years after the day on which the last entry was made in the record.

The Australian Taxation Office generally requires records related to tax matters to be preserved for five (5) years.

Schedule A sets out the retention and disposal schedule.

## 2.5 Membership Records

The IQA retains permanently the following records whilst a member is current:

- a) Associate or Student grade – application form.
- b) Member, Technical Member, Fellow or Honorary Fellow grade – application form, copy of degree/diploma certificate and applicant's CV.

These documents are retained by the IQA for a period of 5 years after the member ceases to be a Student, Associate, Member, Technical Member, Fellow or Honorary Fellow in a non-active archive data storage area.

## 3. Electronic Data Storage

It shall be the responsibility of the Chief Executive Officer to maintain backup procedures for the IQA's web-based electronic data.

All other offices and Branch administrators shall ensure adequate daily, weekly and monthly off-site electronic data backup procedures are adhered to if they are not utilising the IQA's cloud based system for storage of soft files.

## 4. Record Storage Facility

Off-site record storage shall remain the responsibility of the Finance Office using a secure, reliable and affordable off-site service, same day and online retrieval service and secure destruction service. Packaging for removal to record storage facility is in Standard Archive Cartons (400mm x 315mm x 260mm)

The Finance Office will maintain the archive catalogue.

Access to IQA Archive Material (in storage or during delivery / retrieval) will be restricted to authorised personnel / contractors; names and contact details of authorised contacts will be provided to the record storage facility and retrieval will be limited to these contacts.

All requests for storage / retrieval will be through the Finance Office.

## SCHEDULE A Record Retention

<b>Administration</b>	
General correspondence	2 years
Joint Venture correspondence	5 year after completion of project
<b>Financial</b>	
Statutory accounts	Permanent
Auditor's reports	Permanent
Ledgers	7 years
Invoices	7 years
Bank Statements	7 years
ATO tax matters	5 years
<b>Agreements (contracts) and related correspondence</b>	
Major (of historical significance)	Permanent
Customers and suppliers	6 years after expiry
Indemnity and guarantees	6 years after expiry
<b>Governance</b>	
Constitution	Permanent
ASIC lodgements	Permanent
Board & Council minutes	Permanent
AGM minutes & files	Permanent
Directors register	Permanent
<b>Insurance</b>	
Policies register	Permanent
Policies	10 years
<b>Membership</b>	
Current members – Associate - application form, Member or Fellow – application form, degree/diploma certificate and CV.	Permanent
Non-current members – as per current members	5 years
<b>Management</b>	
Proxy authorisations	2 years
<b>Personnel</b>	
Personnel files	10 years after leaving
Pay records	6 years
Training records	10 years