Australian Government

**Fair Work Building
& Construction**

FWBC
Records Management Policy – TRIM Records

Version 1.0

October 2012

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Authorised by:	Chris Cahill – Director Agency Conformance
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Document Change History

Version	Date	Author	Summary of change	Approved By
1	14/10/14	Chris CAHILL	Updating naming conventions	Chris CAHILL
2				
3				
4				

Appendices

Introduction

The purpose of this Policy is to provide a set of uniform rules for the creation, management and disposal of TRIM records. The Policy should be used as a benchmark for ensuring compliance with the records management practices of the FWBC.

This Policy should be used in conjunction with other policies and documented business processes related to the management of records and information within the FWBC. For example: Operations Manual, s2.1 *File Management* and FWBC Policy on Corporate Information Management and Agency Security Information Classification and Handling Guidelines.

File Creation & Closure

Mandatory requirements

The FWBC is required to create, keep and maintain full and accurate records of its business activities. To help achieve this requirement, official files are registered in the TRIM system.

As part of this process:

- all TRIM files in respect of Legal and Operations matters must be linked to records created in the AIMS System (and vice versa); and
- all documents attached to a TRIM file must be folioed. This process involves the systematic numbering of all documents attached to a file.
- All documents obtained of evidentiary value which are the subject of Legal proceedings are to be securely retained on the TRIM file and not altered from their original state. Eg: Documents obtained under notices to produce.

Creating and Managing TRIM Files

To ensure that records are properly kept, it will be necessary to:

a) add documents to an existing TRIM file, and
b) create new TRIM files.

a) Existing Files

   i. Examine the subject matter of the information to determine if a pre-existing files has already been registered in TRIM;

   ii. Identify the relevant TRIM file by searching the system;

   iii. Retrieve the relevant file; and

iv. Attach document(s) to the file "contemporaneously" and take the necessary action to progress the matter

b) Creating new Files

i. Submit a request to create a TRIM file using the official form on the intranet.

ii. If the file is a Legal or Operations matter, the new file's title should ***ONLY*** include the applicable AIMS INV or COD number for National Code and describing the type of matter, e.g:

> ***INV*** *23456 –**Operations or Legal.** (whichever is applicable) ;*
>
> ***COD*** *670 – **Operations**.;*

> *BUILDING INDUSTRY COMPLIANCE ENFORCEMENT & EDUCATION – is an automated pre-fix for FWBC files & NOT required to be typed as part of the title in the free text area when ordering your TRIM file.*

iii. Create a TRIM file and attach documents "contemporaneously".

iv. For Legal and Operations matters, update AIMS (via the Administration tab) with the TRIM file reference number once received.

Note: See also attached Workflow diagrams in Appendices 1 and 2.

File Numbering

The FWBC uses an annual single file number to identify its files, i.e. FWBC 12/103. File reference numbers are randomly allocated to files irrespective of the state location of the office requesting the file. The numbers are intended to provide a unique identifier for the file.

File Covers & Attachments

All business units should use standard TRIM file covers to manage their official hardcopy documents (records).

The proper attachment of documents to file is an essential and important part of file maintenance. All documents must be securely held on files.

The use of "Post-It' notes and other rough notes to record information is not a responsible business practice. A formal memo or file note must be used instead to record such information.

Similarly, the stapling of business cards or any other type of non-standard documents to file covers or documents within the file must not be undertaken. If necessary, photocopy the business card or document and attach the A4 photocopy.

Part Files/Volumes

Where the contents of an existing file become too large for the current cover, a second volume or part file must be created.

Common problems associated with large files include the:

- Potential retention of unnecessary copies of the same documents.
- Difficulty in maintaining the attachment of documents to file.
- Accessing specific documents is difficult owing to the excessive number held on file.
- Excessive weight of files.

Note: *Ideally, a file should* not *exceed 25mm – 30mm in thickness or approximately 250 documents (the capacity of a standard file cover) unless exceptional requirements apply.*

In addition, it may be appropriate to "close" a file, once a matter has been completed (e.g. see Appendices 1 and 2, for Operations and Legal files).

File Closure

Once a matter is completed, and file closure sheets have been attached to all part files, the complete file (original and any parts) is to be given to your Administrative Support area. The Administrative Support area will then officially close the file within the TRIM system, and it will be stored in the appropriate area in accordance with Appendix 3.

*# Matters being closed **MUST** have passed any relevant appeal period if the subject of Legal proceedings.*

Numbering Part Files

Care must be taken when creating part files to ensure that reference to subsequent and previous parts are properly noted on file covers. Currently, each subsequent part file will have a different number to the previous.

In addition, all part files must show the related AIMS number and the number of parts to the file, e.g. 'Current Part 2'; 'Next Part 3'. The file number and title will be automatically generated when requesting a new file part in TRIM. Additional details can be annotated on Closed Part/Volume Cover Sheets (see below).

Closed Part/Volume Cover Sheets

A cover sheet must be attached to all 'Part Files' to indicate a files closure. The cover sheet must state that 'No new documents' are to be attached or removed from the closed file. Part numbers must be clearly shown inclusive of the date range of the contents on each part file, e.g. February 2009 to October 2010.

Records Retention & Storage

Care & Usage

All records storage systems must be properly maintained and comply with WHS Policy.

The key accountabilities are:

- The records storage area(s) must be clean, properly lit and accessible.
- Storage equipment must not be overloaded.
- Compactus units should move freely and be regularly serviced.
- Records should be properly stored on shelves within the bays, and compactus units should be able to be closed.
- Items must not be stored on top of mobile shelving units.
- Access steps must comply with approved standards and staff instructed in their use.
- Records or any other items are not to be stored on the floor.

Evidentiary Documents

All records / documents obtained or created of evidentiary value which are the subject of Legal proceedings are to be securely retained on the TRIM file and not altered from their original state. Eg: Documents obtained under notices to produce.

This is of paramount importance in assisting to locate the records in the event of their requirement to be produced for Legal proceedings as original exhibits, FOI requests or discovery orders etc.

File Disposal

Those records no longer required by the FWBC must be disposed of in accordance with approved records (disposal) authorities. The relevant authorities are FWBC Records Authority for Building Industry Compliance, Enforcement and Education and the General Records Authority - AFDA Express. Both documents are approved by the National Archives of Australia.

Note: No records should be destroyed or transferred as National Archives unless approved by Executive Management.

In addition to the disposal of formal records using records authorities, Normal Administrative Practice (NAP) can be used to destroy records that have no ongoing value. NAP allows the FWBC to dispose of records without formal authorisation. NAP can be applied to most duplicate, facilitative or other unimportant/short-term reference information (hardcopy or electronic),

Requests for Access

Any external requests for access to FWBC documents must be referred to Legal. Requests for public access can be in the form of a Discovery Order, Subpoena or under the provisions of the Freedom of Information Act.

In all cases, it is essential to ensure that care is taken to manage each request inclusive of the production of originals or copies of documents that are provided. New files may also be generated when responding to requests for access and should this occur, then the reference number must be related to existing files.

APPENDIX 1
Workflow Diagram

Operations Records

```
┌─────────────────────────────┐
│ Identify type of Investigation /│──────────┐
│ National Code matter        │          │
└─────────────────────────────┘          │
            │                   ┌──────────────────────┐
            │                   │ e.g.                 │
            │                   │ • 1800 Complaint     │
            ▼                   │ • Site Visit         │
┌─────────────────────────────┐ │ • Referral           │
│ Generate an AIMS Record     │ └──────────────────────┘
│ Number and relevant notes   │
└─────────────────────────────┘
            │                   ┌──────────────────────┐
            ▼                   │ Attach information to│
┌─────────────────────────────┐ │ TRIM file in         │
│ Create a TRIM File          │──▶│ accordance with Policy│
└─────────────────────────────┘ └──────────────────────┘
            │
            ▼
┌───────────────────────────────────────┐
│ Team Leader determines next action based on│
│ findings and recommendation to proceed │
└───────────────────────────────────────┘
            │
     ┌──────┴───────────────────┐
     ▼                          ▼
┌──────────────────┐   ┌──────────────────┐
│ Code matters – to│   │ Investigation    │
│ Building Industry│   │ matters – to     │
│ Branch           │   │ Legal Unit       │
└──────────────────┘   └──────────────────┘
     │                ┌──────┴───────────┐
     ▼                ▼                  ▼
┌──────────────┐ ┌──────────────┐ ┌──────────────┐  ┌──────────┐
│ Report and   │ │ Legal advice │ │ Legal advice │  │ e.g.     │
│ matter       │ │ not to       │ │ to proceed   │──│ Mediation│
│ completed    │ │ proceed      │ │ with the     │  │ Court    │
└──────────────┘ └──────────────┘ │ matter       │  └──────────┘
     │                │           └──────────────┘
     │                │                  │
     │                │                  ▼
     │                │           ┌──────────────┐
     │                │           │ Record decision│
     │                │           └──────────────┘
     ▼                ▼                  ▼
┌────────────────────────────────────────────────┐
│      Close file and return to storage           │
└────────────────────────────────────────────────┘
```
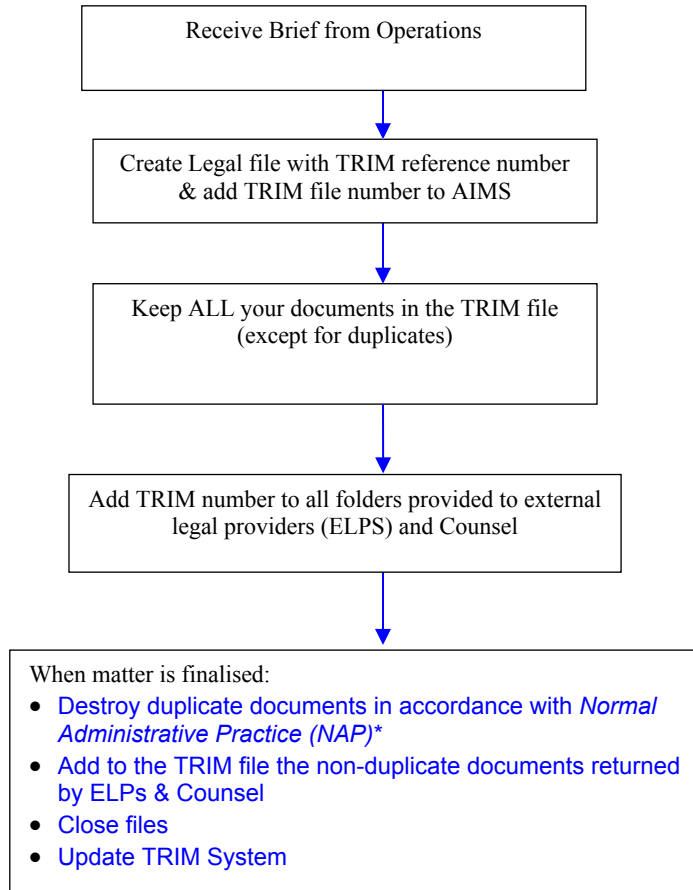
Note:

- All Operations records must show AIMS and TRIM reference numbers and these reference numbers must be related to reference numbers generated by Legal Branch.
- TRIM file reference numbers can be added in AIMS via Administration tab. (NB: This includes noting all additional part files raised).
- Original TRIM files and original documents to be retained by Operations. They are not to be supplied to Legal when matter is referred. Legal will create and register related files for their processes (see Workflow Appendix 2).
- See also s. 2, *File Creation* & Closure

APPENDIX 2
Workflow Diagram

Legal Branch

Receive Brief from Operations

↓

Create Legal file with TRIM reference number
& add TRIM file number to AIMS

↓

Keep ALL your documents in the TRIM file
(except for duplicates)

↓

Add TRIM number to all folders provided to external
legal providers (ELPS) and Counsel

↓

When matter is finalised:
- Destroy duplicate documents in accordance with *Normal Administrative Practice (NAP)**
- Add to the TRIM file the non-duplicate documents returned by ELPs & Counsel
- Close files
- Update TRIM System

Note: To facilitate the reconciliation of briefs, court folders and TRIM files

- All Legal records must show AIMS and TRIM reference numbers

- See also s2. File Creation & Closure and s3.2. File Disposal

* If unsure of file creation and destruction process, contact Chris Cahill, x 33093

APPENDIX 3
FWBC Records Storage Locations

Sydney - Level 11 - 255 Elizabeth Street

The records of the Sydney Office are stored in the following locations:

Level 11 – Compactus 1

- Operations – active, semi-active TRIM Files

Level 11 – Compactus 2

- Legal – comprising active, semi-active and inactive TRIM files.
- Operations – inactive TRIM files

Melbourne – Levels 2 & 3 - 553 St.Kilda Rd

The records of the Melbourne Office are stored in the following locations:

Level 2 – Compactus 1

- Legal – comprising active, semi-active and inactive TRIM files.
- Operations – inactive TRIM files

Level 2 – Compactus 2

- Operations/Code – active and semi-active TRIM files

Level 2 – Compactus 3 (Water Heater Room)

- Operations & Code – inactive TRIM records
- Administration – inactive TRIM records
- Operations – diaries
- FOI – semi-active TRIM records

Level 3 – Compactus 4

- HR & Administration – active & semi-active TRIM records

APPENDIX 3
FWBC Records Storage Locations

Perth – Level 9 - 140 St Georges Tce

*Level 9 – Compactus 1 (*open bay shelves located within the large, file storage room)

- active, semi-active and inactive Operations/Code, Legal and Administrative records of the Perth Office.

Brisbane - Level 16 - 200 Mary Street

Level 16 – Compactus 1

- active, semi-active and inactive Operations and Legal records of the Brisbane Office.

Darwin - Level 3 – 39-41 Woods Street

Level 3 – Compactus 1

- active, semi-active and inactive Operations records of the Darwin Office.

Hobart – Level 3 -142 Elizabeth St

Level 3 – Compactus 1

- active, semi-active and inactive Operations records of the Hobart Office.

Adelaide – Level 3 - 148 Frome St

Level 3 – Compactus 1

- active, semi-active and inactive Operations and Legal records of the Adelaide Office.

Canberra – Level 11 - 208 Bunda Street

Level 11 – Compactus 1

- active, semi-active and inactive Operations records of the Canberra Office.

APPENDIX 4
Records Management Checklist

✓ The locations of your files have been recorded in TRIM.

✓ All documents are <u>attached</u> to the relevant file.

✓ All related files are related in TRIM and also identified on the file label(s).

✓ All Legal files have been registered and related to other relevant TRIM matter files.

✓ Plastic sleeves, spiral binders, and clips and other metal objects have been removed from documents prior to attachment to a TRIM file.

✓ All post-it notes, business cards and other non-standard items been removed from the file, and, if necessary, these items have been photocopied and the A4 photocopy attached to file.

✓ A TRIM file has been created in accordance with the processes identified in the workflows (Appendices 1 & 2)

✓ Before creating the TRIM file, you have checked whether a relevant file has already been registered for an active matter.

✓ If a file exceeds 25 – 30 mm in thickness, you have created a new part file.

✓ A Closed Volume sheet has been attached and notated appropriately for all previous part files.

✓ No files or other materials are stored on the floor in any storage area.

✓ All storage areas are clean, well lit, accessible and properly secured.

✓ All files stored in proper numerical order within their appropriate storage areas.

APPENDIX 5

GLOSSARY

Active Records

Records that are regularly required and accessed as part of the daily functions of the FWBC.

See also: Inactive Records, Semi-active Records

Annual Single Numbering

Unique identifiers allocated to records whereby an annual prefix (e.g. 09, 10, 11, etc.) is followed by a sequential number (from 1 onwards). The sequential portion of the file number is reset to 1 at the start of each year to limit the size of the sequential number generated.

See also: File Numbering

Archives

Records identified as having continuing value under the provision of approved records disposal authorities.

Creation (of records)

Making and capturing and registering records in a recordkeeping system.

See also: File Creation

Current Records
See Active Records

Disposal

Implementing a range of processes based on the ongoing value of records. It can include destruction/deletion of records or their transfer for temporary or permanent retention. Disposal action is undertaken in accordance with provisions contained in approved records disposal authorities.

See also: Records (Disposal) Authority; Transfer (of records)

Evidentiary Records

Documents deemed required for the purposes of Legal proceedings.

File

A file is a collection of documents that provides information about the FWBC's business activities and which provides evidence of all transactions.

File Attachments

Documents or other items of information that are attached to registered files.

File Numbering

The allocation of unique numbers to files so that they can be distinguished from one another.

File Closure

Preventing the addition of new documents to a file because the matter concerning it has been completed or discontinued, or the physical file part has reached its limit of thickness.

See also: Part-files/volumes

File Creation

The action of making and registering files to contain documents in a recordkeeping system.

See also: Creation (of records)

Folioing

Numbering all of the paper records within a file to enable users to:

- reference a specific page within a file
- account for every page (folio numbers can indicate that information has been removed or added inappropriately).

Inactive Records

Records no longer required or used by the FWBC and which should be the subject of disposal action in accordance with recommendations in approved disposal authorities.

See also: Active Records, Semi-active Records; Transfer (of records)

National Archives of Australia (NAA)

The Commonwealth authority charged with responsibility under the Archives Act 1983 to:

- preserve Australia's most valuable government records and encourage their use by the public; and
- promote good records management by Australian Government agencies.

Part-files/Volumes

Files that are created when the original file becomes too thick and an additional volume is needed to store further documentation.

See also: File Closure

Records

Recorded information, in any form, including data in computer systems, created or received and maintained by an organisation or person in the transaction of business or the conduct of affairs and kept as evidence of such activity. Records are information, in any format, that will support your work, and prove what, why, when, and how it was done and who was involved.

Records (Disposal) Authorities

Legal documents issued to agencies by the NAA to authorise the disposal of Commonwealth records regarding core business functions. They specify classes of records and the minimum time they should be kept.

Reconstitution (of files)

Re-establishing the proper and original content and structure of a file by re-attaching documents in correct order, removing surplus copies, and ensuring items are not missing.

Semi-active Records

Records required so infrequently in the conduct of current business that they can be transferred from regularly used offices, rooms and equipment to separate storage areas.

See also: Active Records; Inactive Records; Transfer (of records)

Transfer (of records)

A disposal process that involves changing the physical custody or ongoing storage location of records. Records may be transferred to a service provider. GDA 25 authorises the temporary transfer of Commonwealth records to storage providers.

See also: Disposal; Inactive Records; Semi-active Records.