

# Child & Family Resources

## RECORDKEEPING/ DATA STORAGE PLAN



## TABLE OF CONTENTS

Introduction.....	3
1. Principle One: Proper and Adequate Records.....	4
2. Principle Two: Policies and Procedures .....	4
2.1 Records Management Systems .....	4
2.2 Records Management Policy and Procedures .....	4
2.3 Certification of Policies and Procedures .....	5
3. Principle Three: Preservation .....	5
3.1 Assessment of the Risks .....	5
<b>3.1.1 On Site Storage</b> .....	5
<b>3.1.2 Offsite Storage</b> .....	5
<b>3.1.3 Storage of Backups</b> .....	6
<b>3.1.4 Security and Access</b> .....	6
3.2 Assessment of the Impacts of Disasters.....	6
3.3 Strategies in Place for Prevention and Response .....	6
<b>3.3.1 Vital Records Program</b> .....	6
<b>3.3.2 Back-up Procedures for Electronic Records</b> .....	6
<b>3.3.3 Security</b> .....	6
<b>3.3.4 Storage Reviews</b> .....	7
<b>3.3.5 Recovery of Lost Information</b> .....	7
4. Principle Four: Retention and Disposal .....	7
4.1 Retention and Disposal Schedules .....	7
4.2 Restricted Access Archives.....	7
5. Principle Five: Compliance.....	7
5.1 Staff Training, Information Sessions .....	7
5.2 Induction Programs.....	8

## Introduction

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The purpose of CFR 's Recordkeeping Plan is to set out the matters about which records are to be created by the organization and how it is to keep its records. The Recordkeeping Plan is to provide an accurate reflection of the recordkeeping program within the organization, including information regarding the organization's recordkeeping system(s), disposal arrangements, policies, practices and processes. The Recordkeeping Plan is the primary means of providing evidence of and the implementation of best practice recordkeeping within the organization.

The objectives of Child & Family Resources RKP are to ensure:

- Processes are in place to facilitate the complete and accurate record of business transactions and decisions;
- Recorded information can be retrieved quickly, accurately and when required; and the
- Protection and preservation of the organization's records.

Child & Family Resources and all its employees are required to comply with the contents of this Plan.

This Recordkeeping Plan applies to all:

- Child & Family Resources employees; and
- Organizations performing outsourced services on behalf of Child & Family Resources

This Recordkeeping Plan applies to all records created or received by any of the above parties, regardless of:

- Format;
- Storage location; or
- Date created.

For the purposes of this RKP, a record is defined as meaning "any record of information however recorded" and includes:

- (a) anything on which there is writing or Braille;
- (b) a map, plan, diagram or graph;
- (c) a drawing, pictorial or graphic work, or photograph;
- (d) anything on which there are figures marks, perforations, or symbols, having meaning for persons qualified to interpret them;
- (e) anything from which images, sounds, or writings can be reproduced with or without the aid of anything else; and
- (f) anything on which information has been stored or recorded, either mechanically, magnetically, or electronically."

## 1. Principle One: Proper and Adequate Records

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*Child & Family Resources ensures that records are created and kept which properly and adequately record the performance of the organization's functions and which are consistent with any written law to which the organization is subject when performing its functions.*

## 2. Principle Two: Policies and Procedures

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*Child & Family Resources ensures that recordkeeping programs are supported by policy and procedures.*

### 2.1 Records Management Systems

*Child & Family Resources records management system is a manual process. Records are both paper and electronic based and was implemented in 2000.*

### 2.2 Records Management Policy and Procedures

The creation and management of Child & Family Resources' records is coordinated by the organization's *Associate Director*.

For the recordkeeping policy and procedures of Child & Family Resources please refer to the respective program standard operating procedures. Program Standard Operating Procedures are located on the network S drive in the respective program folders. In addition, this policy can be found on Child & Family Resources' website (<https://cfmorriss.org/about-us/policies-procedures/>).

The policy and procedures manual covers the following recordkeeping activities:

- Correspondence capture and control – including incoming and outgoing mail registration; responsibilities assigned for classifying, indexing and registration; file titling and file numbering conventions;
- Digitization – including categories of records digitized; disposal of source records; digitization specifications
- Mail distribution – including frequency, tracking mechanisms and security measures;
- File creation and closure – including assigned responsibility and procedures for both physical and automated file creation;
- Access to corporate records – including procedures for access to and security of corporate records;
- Authorized disposal of temporary records (whether hard copy or electronic);
- Electronic records management – including the organization's approach and methodology for the capture and management of its electronic records ;
- Email management – including the capture, retention and authorized disposal of email messages to ensure accountability.
- Website management – including guidelines to determine which is the complete and accurate record, particularly in regard to the purpose of the site (*e.g.* whether informational/transactional), responsibility for the website and strategies implemented for the management of the website over time,

including capture of periodic snapshots of the site and mechanisms for recording website amendments;

- Metadata management – including authority for the capture and control of metadata;
- System/s management – including any delegations of authority for the control and security of systems utilized by the organization (*e.g.* provision of access to systems through individual logins and passwords, protection of servers etc.);
- Migration strategy – strategies planned or in place for migrating information and records over time (*e.g.* through upgrades in hardware and software applications) and any assigned responsibilities

### 2.3 Certification of Policies and Procedures

Evidence of formal authorization that the policies and procedures are in place and promulgated throughout Child & Family Resources is provided by the copy of the certification document signed by the employee during the orientation process

## 3. Principle Three: Preservation

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*Child & Family Resources ensure that records are protected and preserved*

For the *Disaster Management Plan/Records Disaster Recovery Plan* for Child & Family Resources please refer to that document.

### 3.1 Assessment of the Risks

#### 3.1.1 On Site Storage

Child & Family Resources has its current and active records located in onsite storage at *111 Howard Blvd. Suite 104 Mount Arlington, NJ*. The storage facility includes:

- *Metal shelving,*
- *Secure premises,*
- *Fire detection system, and*
- *Air-conditioning*
- *Locked doors*

The main disaster threatening records stored onsite comes from *fire/flood/industrial accident/vandalism.*

#### 3.1.2 Offsite Storage

Records held offsite are located in a commercial storage facility, operated by *Archive* and include such things as:

- *Security of premises / facility;*
- *Fire detection / suppression system;*
- *Air-conditioning;*

### 3.1.3 Storage of Backups

Electronic backups of Child & Family Resources computer records are held offsite at *Advance Computer Technologies* on a *daily* basis.

### 3.1.4 Security and Access

*All records are secured and include such things as:*

- *Password protection*
- *Locked file cabinets*
- *Locked offices and rooms*
- *Locked keys*

## 3.2 Assessment of the Impacts of Disasters

As stated previously, the risk of a disaster occurring to the records of Child & Family Resources has been assessed as *low*. *There are sufficient strategies in place to ensure that business activities of the organization are not unduly affected in the event of the more likely disaster occurring.*

## 3.3 Strategies in Place for Prevention and Response

The following strategies have been implemented by Child & Family Resources in order to reduce the risk of disaster and for quick response should a disaster occur:

### 3.3.1 Vital Records Program

A vital records program has been developed for Child & Family Resources. Vital records have been identified as:

- Bank Account Information
- Personnel Files
- Insurance Policies
- Certificate of Incorporation

Vital records in hard copy are stored in a locked room, accessible to *Associate & Executive Director*. These records have been copied and the copies are placed on the *M:Drive* and are used for all normal business activities.

### 3.3.2 Back-up Procedures for Electronic Records

Electronic records of Child & Family Resources are backed up *daily*. The back-ups are stored offsite by *ACT*.

### 3.3.3 Security

The following security measures have been implemented by Child & Family Resources to prevent unauthorized access to records:

- Hard copy records are stored in a locked/secure room accessible only to records staff.
- Hard copy records stored offsite are located at *Archive*.
- Electronic records have varying degrees of access depending on delegations assigned to staff within the organization. Electronic records are backed up on a regular basis as described previously.

- Dual authentication, encryption, etc.

### **3.3.4 Storage Reviews**

The records storage facility (*ies*) utilized by Child & Family Resources are reviewed regularly to ensure that conditions are appropriate for the organization's records.

### **3.3.5 Recovery of Lost Information**

Child & Family Resources has developed a set of quick response strategies to recover lost information, in all formats, should a disaster occur.

*Such as:*

- *duplication of hard copy vital records;*
- *back up of electronic records;*
- *offsite storage of backups;*
- *A records disaster recovery kit (ie equipment for use in the event of a disaster; etc.).*

## **4. Principle Four: Retention and Disposal**

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*Child & Family Resources ensure that records are retained and disposed of in accordance with an approved disposal authority.*

### **4.1 Retention and Disposal Schedules/Sector Disposal Authority**

- The Retention and Disposal Schedule is stored on the network M drive, internal procedures folder. Files are retained according to NJ State Records Retention Schedule G100000-014 and DCF P8.01-2007.

### **4.2 Restricted Access Archives**

- Details of restricted access archives are stored on the network M drive, internal procedures folder. Files are reviewed in the second quarter (January – March) and are retained or archived according to NJ State Records Retention Schedule G100000-014 and DCF P8.01-2007.

## **5. Principle Five: Compliance**

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*Child & Family Resources ensures their employees comply with the record keeping plan.*

### **5.1 Staff Training, Information Sessions**

Child & Family Resources has implemented the following activities to ensure that all staff are aware of their recordkeeping responsibilities and compliance with the Recordkeeping Plan:

- Presentations on various aspects of Child & Family Resources recordkeeping program are delivered on a *regular/ad hoc* basis to *all units within the organization* by management staff;
- In-house training sessions are conducted for the organization's staff by management ;
- From time to time an external consultant is brought in to run a training session for staff. Staff are also encouraged to attend training courses outside the organization whenever practicable; and/or
- Staff information sessions are conducted on a *regular* basis for staff as required.

## 5.2 Induction Programs

New employees are provided with the following information to ensure they are aware of their role and responsibilities in terms of recordkeeping within Child & Family Resources

- Induction manual – including but not limited to the following policies:
  - Computer Use Policy
  - Clean Desk Policy
  - DFDI 24-01-03 Data Security Policy
  - NJ State Records Retention Schedule G100000-014
  - DCF P8.01-2007
- Training program provided by management.

Induction programs are provided for all staff coming into the organization.

### EMPLOYEE AGREEMENT

I have read, understand, and agree to comply with the foregoing policies, rules, and conditions governing recordkeeping/data storage. I am aware that violations of this plan may subject me to disciplinary action, including termination from employment, legal action and criminal liability. Furthermore, I understand that this plan can be amended at any time.

Dated: \_\_\_\_\_

\_\_\_\_\_  
[Signature of employee]

\_\_\_\_\_  
[Printed name of employee]