

RECORDS MANAGEMENT POLICY

PURPOSE

The purpose of this Policy is to provide guidance and direction on the management of PI Records and to clarify responsibilities.

Effective records management practices:

- Reduce the cost of records storage,
- Decreases the time taken to locate records,
- Mitigates risks arising from unmanaged destruction of records, and
- Mitigates against inadvertently keeping records that should be destroyed.

PIs responsibilities as a registered NDIS Provider include 'keeping full and accurate records of supports delivered'.

Also, PI has an obligation to comply with the record-keeping requirements of charities registered with the Australian Charities and Not-For-Profits Commission (ACNC) which are detailed under Division 55 of the ACNC Act 2012, as follows:

Registered entities must keep records

- (1) A registered entity must keep written financial records that: (a) correctly record and explain its transactions and financial position and performance; and (b) enable true and fair financial statements to be prepared and to be audited; so as to enable any recognised assessment activity to be carried out in relation to the entity.
- (2) A registered entity must also keep written records that correctly record its operations, so as to enable any recognised assessment activity to be carried out in relation to the entity.
- (3) The records must be: (a) in English; or (b) readily accessible and easily convertible into English.

Registered entities must retain records

- (4) Subject to subsection (5), the registered entity must retain the records for 7 years after the transactions, operations or acts covered by the records are completed.
- (5) The Commissioner may notify the entity in writing that it does not need to retain certain records under subsection (4).
- (6) A registered entity commits an offence if the entity does not comply with this section. Penalty: 20 penalty units.
- (7) An offence against subsection (6) is an offence of strict liability.

SCOPE

This policy uses the term Records to refer to all PI documents, information and data stored by any means. Records include:

- written documents



- printed documents, including photographs
- electronic records
- anything from which sounds, images or writings can be reproduced with or without the aid of anything else.

According to the ACNC:

Registered entities must keep both financial and operational records.

Financial records include: receipts, invoices, banking records, cheques, details of any contracts, details of grant payments, employee salary records, accounting records, working papers to produce financial reports, stock records, list of assets, tax documents and correspondence about financial matters.

Operational records include: governing documents, meeting minutes, reports, details of activities, details of programs or services, contracts and agreements, strategic plans, policies and procedures, project proposals, media releases, promotional material and project documentation.

POLICY STATEMENT

PI will take responsibility to minimise risk and maximise quality and effectiveness in PI administration through accurate documentation and the appropriate management and maintenance of documents and records.

PRINCIPLES

- Full and accurate records will be created and maintained as long as required for legislative, business and compliancy purposes.
- Records will be sequentially ordered to minimise the risk of superseded documents being used as current documents.
- All staff will be required to be familiar with the electronic filing system, and to store documents in appropriately labelled folders, thus reducing the time to locate stored records.
- All records in a non-electronic form will be required to be stored in a secure place in accordance with the PI Privacy, Dignity and Confidentiality Policy.
- PI must retain records for 7 years after the transactions, operations or acts covered by the records are completed.
- Shared electronic documents that can be accessed by staff on SharePoint must not be permanently deleted without CEO authorisation.

RESPONSIBILITIES

The CEO is responsible for ensuring compliance with all parts of the Records Management Policy and associated Procedures.

RELATED DOCUMENTS

Privacy, Dignity and Confidentiality Policy

AUTHORISATION

PI Chair, Glenn Keys OAM



