

## Records Management Policy

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|--------------------|------------|-----------------------|----------|
| Policy number      | 24         | Version               | V1.0     |
| Drafted by         | Kerry Bull | Approved by Board on  | 03.11.25 |
| Responsible person | Chair      | Scheduled review date | Nov 2027 |

### Policy Statement

PRECI is committed to collecting, using, retaining, and disposing of records or identifiable data in ways that protect privacy and ensure confidentiality.

When PRECI collects, retains and uses data, we will follow procedures to guarantee the privacy and ensure that records are appropriate, accurate and secure.

This policy will operate in conjunction with PRECI's Privacy Policy. PRECI conforms to the Federal Privacy Act (1988) and the Australian Privacy Principles which govern the collection, use and storage of personal information.

The data collected will be relevant and justifiable. The level of personal detail kept will depend on the person's needs and rights, and internal and external management requirements. Data is collected to:

- Ensure the quality of service that is provided
- Enable PRECI to be transparent and accountable
- Manage data efficiently and in a timely manner

This policy applies to employees, volunteers, organisational partners, stakeholders, activities and operations of the organisation and the Board.

Records include: Recorded information, in any form (written, digital, video, images) including data in computer and cloud-based systems, created or received and maintained by PRECI in the conduct of its affairs and kept as evidence of activity.

The efficient management of PRECI records is essential to the organisation's business operations. In addition, these records provide essential documentation of business transactions necessary to meet legal, administrative and audit requirements.

### Employee Files

Employees' files are kept confidential.

### Worker Checks

All new PRECI staff together with Board members and volunteers must undertake a Working with Children Check. This is addressed through the recruitment process.

All roles need to be risk assessed and records kept according to legislated requirements.

## **Quality and safety**

Record keeping is an essential factor in being able to

- prevent and respond to all forms of violence against, and exploitation, neglect and abuse of, people with disability
- keep employees and stakeholders safe
- reduce and mitigate risks and hazards
- improve the quality of services
- be accountable and transparent
- respond to feedback and complaints

## **Incident/Hazard Record**

The safety and wellbeing of all who are involved with or employed by PRECI will be improved by PRECI's

- philosophy of welcoming reporting
- processes for logging and documenting hazards and incidents no matter how small
- response processes for analysing, identifying and tracking outcomes

PRECi's approach to making this happen is to keep it simple and use only one path for commencing all reporting of incidents.

PRECi will comply with all legislative requirements for Reportable Incidents.

## **Feedback and Complaints**

The quality of services and standards of practice or operations improves when based on well recorded feedback and complaints and tracking of actions and outcomes.

PRECi uses a

- philosophy of welcoming reporting
- processes for logging and documenting feedback and complaints no matter how small
- response processes for analysing, identifying and tracking outcomes

PRECi's approach to making this happen is to keep it simple and use only one path for commencing all response to Feedback and Complaints (See Feedback & complaints handling Policy)

## **Record Management**

All staff are required to observe the following practices in respect of the creation, filing and archiving of PRECI records:

#### 1. Creation of Records

PRECI staff and board members are required to create records which adequately document the business activities in which they take part.

#### 2. Protection of Records

Our primary record-keeping and privacy obligations are set out in the Australian Privacy Act 1988 which states we must store information securely and take reasonable safeguards against loss, unauthorised access, use, modification, disclosure or other misuse. Staff and Board members are to handle records following policy, with care and respect so as to avoid damage to the records. Staff and Board members must not alienate, relinquish control over, damage, alter or destroy records of PRECI without authorisation.

#### 3. Use of data

Data and records will only be used for the purpose for which they were created.

Records will be created to document, evaluate, and manage feedback, complaints, and incidents.

Sharing of business and financial information needs to be approved by the Chair and delegated authorities.

#### 4. Disposal and Destruction of Records

Staff may destroy or dispose of records of PRECI only in accordance with the Disposal Authorities (authorised by the State Records Authority) and the Guidelines on Some Aspects of Normal Administrative Practice (Schedule 1, State Records Act 1998).

<https://www.records.nsw.gov.au/recordkeeping/advice/retention-and-disposal/destruction-of-records>

The Board Chair will delegate authorisation about the disposal of records while following retention and disposal authority mandated minimum periods for retention while ensuring that it meets PRECI's organisation has no further business or legal needs for the records.

The destruction of records should be irreversible.

#### 5. Business Filing System

All agreements, meeting minutes, contracts, and reports are stored electronically in the relevant business area on PRECI's shared drive. Financial records and documents will accurately record and explain transactions, the financial position, and performance. Financial records will be maintained in a manner to enable true and fair financial statements to be prepared and audited, filed and stored while current and then securely archived.

#### 6. Document Management

All files must be named in a way to ensure all documents are current versions and able to be retrieved easily by appropriate staff and Board members ( e.g. descriptively and indicating date and version. Each page must be clearly named).

#### 7. Security of Records

All staff and Board members who have responsibility for the management of records which have the potential to be of a sensitive nature (e.g. supplier records, financial records and staff records) are responsible for maintaining their security and use systems that only allow access by authorised personnel.

#### 8. Back-up of Electronic Files

Files stored on PRECI central server are backed up and are stored on Cloud services (e.g. Google Drive)

### **PROCEDURE: INFORMATION & RECORDS MANAGEMENT**

#### 1. Records to be kept in relation to staff, including volunteers

The following records must be kept in relation to staff:

- The full name, address and date of birth
- Evidence of any relevant qualifications
- Evidence of any approved training (including first aid training)
- A Working with Children Check
- Signed agreements
- Medical and emergency details
- Professional development and training

#### 2. Incident/Hazard Record

An Incident/Hazard Record (within Workplace Health & Safety Policy) will include details of any incident in relation to injury, accident, incident or hazard.

- The following must be included:
- Personal details: name, address, date of birth
- Information regarding the incident, accident, or hazard or trauma
- The time and date the incident occurred, the injury that was received
- Any details of any First Aid applied
- Details of any witnesses
- The name and signature of the person making an entry in the record and the time and date that the entry was made if it is significant.
- This record must be recorded as soon as is practicable, but not later than 24 hours after the incident, injury, trauma or onset of illness occurred.

**Length of Time Records must be kept**

If the record relates to the manager or staff member of PRECI, until the end of 3 years after the last date on which the manager or staff member provided services.

**Storage of Records**

Records made by PRECI will be stored in a safe and secure location for the relevant time periods as set out above and only made accessible to relevant individuals.

**Related Documents**

- Confidentiality Policy
- Privacy Policy