

<b>13.4</b>	<b>FILING AND RECORDS MANAGEMENT</b>
-------------	--------------------------------------

<b>Applies to:</b> Staff
<b>Specific responsibility:</b> HECIS Co-Ordinator, Office Manager

<b>Version:</b> 1
<b>Date approved:</b> 5.8.14
<b>Next review date:</b> Jan 2026

<b>Policy context:</b> This policy relates to	
Standards or other external requirements	
Legislation or other requirements	Associations Incorporations Act 2009
Contractual obligations	

## POLICY STATEMENT

All HECIS records will be filed and managed systematically so that:

- material related to the governance and administration of HECIS is clearly identified and retained for the required periods of time
- material of on-going relevance to HECIS's activities or of potential historical significance is identified and archived accordingly
- material related to clients and service users is stored, reviewed, archived and disposed of according to the organisation's procedures for client records
- regular reviews remove and dispose of material that is no longer required
- disposal methods protect the privacy of individuals and the confidentiality of HECIS business.

As an Incorporated Association, HECIS is required to retain its financial, taxation and other statutory records for a minimum of five (5) years. Documents are kept in a locked office, filing cabinet and archived documents are kept in a locked storeroom onsite.

## PROCEDURES

### Records management

HECIS records (whether hard copy or electronic) consist of the following centrally located sets of material:

- Financial records: These are kept in the HECIS Office #4 and managed by The Office Manager. Archived records are stored in a locked storeroom onsite.
- Personnel records: These are kept in the HECIS Office #4 and managed by the HECIS Co-Ordinator and Office Manager. Access is restricted to The HECIS Co-Ordinator and Office Manager.
- Membership records: These are kept in the HECIS Office #4 and managed by the Office Manager. Access is restricted to HECIS staff and the Management Committee.
- Statutory documents related to the incorporation and governance of HECIS are kept in the HECIS Office #4 and managed by the Office Manager. Access is restricted to HECIS staff and Management Committee.
- Contractual and other administrative documents, including insurance policies: These are kept in the HECIS Office #4 and managed by the Office Manager. Access is restricted to staff and Management Committee.
- Funded project files containing:
  - funding submission

## *HECIS: Filing and Records Management*

- funding agreement
- project budget
- any correspondence with funding agency
- copies of all reports and acquittals
- copies of any agreements with contractors involved in the project.

These are kept in the HECIS Main Office and/or Office #4 and managed by the HECIS Co-Ordinator and Office Manager. Access is restricted to staff and Management Committee.

### **Client records**

- Each Advisory Service client will have a **general plastic sleeve file** consisting of the HECIS referral with any relevant reports, a HECIS assessment and copies of any correspondence from HECIS. This will be placed in a locked filing cabinet under the 'Children's files – General' file.
- If the client is assessed to be further supported under our NDIS Provider program a SPLOSE online file will be created. All relevant documents will be uploaded into the child (participants) SPLOSE file.

HECIS staff are responsible for maintaining files relevant to their own work and projects, and for ensuring original copies of documents are placed into the client's SPLOSE file.

### **Retention and archiving**

All staff are responsible for reviewing their own working files annually and identifying 'hard copy' material they no longer require. This material should be culled and:

- given to the Office Manager at the end of the calendar year for archiving at HECIS; or
- placed into the archived file for storage in the storage room, or
- disposed of.

The Office Manager is responsible for reviewing the central files and:

- archiving all financial records (including employee related records) for a minimum of 7 years and disposing of older records
- archiving other records according to the requirements for retention and disposing of older records
- disposing of any material no longer required.

Any material which is more than five (5) years old is usually discarded.

### **Disposal of Files**

All confidential documents are to be shredded on disposal. This includes:

- Management Committee papers and minutes
- financial information and records
- all personnel records including job applications, supervision or performance management records
- workplace grievance records
- membership records
- client records
- any other material with sensitive or personal information.

General material that is not considered sensitive should be disposed of via the paper recycling.

**Managing correspondence**

Correspondence forms part of HECIS' s records, and the Office Manager will be responsible for managing the filing of hard copy and email correspondence.

All staff will be responsible for managing their personal correspondence and ensuring copies of any correspondence that requires central filing are filed appropriately.

All correspondence (hard copy and electronic) will be categorised and managed according to the following:

- **Administration or corporate correspondence requiring longer term retention:** This will include items relating to HECIS requirements, taxation, finance, employee records, contracts and project management. Copies of all such correspondence are filed centrally by the Office Manager.
- **General correspondence relating to current activity:** This will include information relating to current operational activity, where the record needs to be retained until the action is completed. Copies of this correspondence should be filed by the staff member receiving them in the appropriate file.
- **Temporary correspondence:** This will include personal correspondence, correspondence dealing with the work of the day, and correspondence containing outdated information. Staff may destroy this after reading.

**DOCUMENTATION**

Documents related to this policy		
Related policies	Client records	
Forms, record keeping or other organisational documents		
Reviewing and approving this policy		
Frequency	Person responsible	Approval
Annually	HECIS Co-Ordinator	Management Committee

Policy review and version tracking			
Review	Date Approved	Signed	Next Review Due
1	24.1.2023	HECIS Co-Ordinator	Jan 2024
2	30.1.24	HECIS CoOrdinator	Jan 2025
3	28.1.25	HECIS CoOrdinator	Jan 2026
4		HECIS CoOrdinator	
5		HECIS CoOrdinator	
6		HECIS CoOrdinator	