

Records Management Policy

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Purpose

The purpose of this policy is to:

- establish the framework, principles and standards for best practice record keeping at PeopleKind Group;
- establish an efficient organisation-wide record management system for maintaining, identifying, retrieving, preserving and destroying records;
- ensure that records are adequately protected;
- preserve PeopleKind Group history;
- ensure that records that are no longer needed or of no value are appropriately destroyed at the appropriate time; and
- comply with all applicable local, state, and federal laws and regulations.

Scope

PeopleKind Group is the parent company to a group of organisations: Liift Learning, Melior Positive Behaviour Support, Nesti Housing, Nulsen Disability Services, Pillar Support Coordination, Outcare and Superyou Therapy.

This policy applies to all employees, volunteers, Directors, consultants, contractors, and to all PeopleKind Group organisations, programs, and activities.

Introduction

For the purposes of this policy, **a record** is defined as 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 and kept as evidence of, and support for, the organisation's business activities and the good conduct of its affairs.

The systematic creation and capture of official records into the PeopleKind Group recordkeeping system is essential to ensuring the efficient and effective functioning of PeopleKind Group processes and to protecting its corporate memory.

Management, for example, is not able to make fully informed decisions without ready access to relevant and complete records that are kept available for an appropriate retention period. These records may also be needed as prima facie evidence to support PeopleKind Group defence of its decision-making during litigation or be required by legal processes such as discovery orders and subpoena. They may also be required in response to any regulatory audit or investigation.

Adherence to this policy will promote administrative efficiencies and facilitate PeopleKind Group compliance with all relevant and current legislation, acts, and standards.

Policy Statement and Principles

The PeopleKind Group recordkeeping programme will support good corporate governance and compliance to legislative requirements and best practice standards. PeopleKind Group staff are required to comply with legislative and administrative requirements to create, manage, protect and make accessible records that properly and adequately document the performance of PeopleKind Group functions. Ownership of any record received or created by an employee of PeopleKind Group in the course of their work for PeopleKind Group resides with PeopleKind Group and not the individual.

Additionally, this policy aims to ensure that all PeopleKind Group corporate records will be filed and managed systematically so that:

- Material relating to the governance and administration of PeopleKind Group is clearly identified and retained for the required periods of time;
- Proper and adequate records of PeopleKind Group business activity is retained to ensure sufficient evidence of its performance of those functions;
- Material of on-going relevance to PeopleKind Group activities or of potential historical significance is identified and archived accordingly;
- Material related to PeopleKind Group service user/participants/clients is stored, reviewed, archived and disposed of according to the organisation's procedures for client records;
- Regular reviews to remove and dispose of material that is no longer required;
- Disposal methods protect the privacy of individuals and the confidentiality of PeopleKind Group business.

As a Limited Company, PeopleKind Group retains its financial, taxation and other statutory records for a minimum of seven years.

PeopleKind Group is committed to implementing voluntary codes of best records management practice endorsed by the following Standard:

AS ISO 15489 2016 Records Management.

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Policy Context and Related Legislation

This policy should be read in conjunction with other associated PeopleKind Group policies and procedures and, in particular, the **Records Management Policy Procedures**.

This policy recognises the legal and moral obligations of PeopleKind Group, and it has been framed around the following:

- *Copyright Act 1968* (Cth) (as amended 2021)
- *Corporations Act 2001* (Cth) (as amended 2022)
- *Disability Discrimination Act 1992* (Cth) (as amended 2022)
- *Disability Services Act 1993* (WA) (as amended 2021)
- *Disability Services Act 1986* (Cth) (as amended 2020)
- *Electronic Transactions Act 2011* (WA) (as amended 2012)
- *Freedom of Information Act 1992* (WA) (as amended 2022)
- *National Disability Insurance Scheme Act 2013* (Cth) (as amended 2022)
- *Privacy Act 1988* (Cth) (as amended 2022)
- *Public Interest Disclosure Act 2003* (WA) (as amended 2017)

- Australian Privacy Principles 2014
- National Disability Insurance Scheme Quality and Safeguarding Framework 2016
- United Nations Convention on the Rights of Persons with Disabilities 2006

NDIS Rules

- National Disability Insurance Scheme (Code of Conduct) Rules 2018 [F2018L00629]
- National Disability Insurance Scheme (Provider Registration and Practice Standards) Rules 2018 [F2020C01088]
- National Disability Insurance Scheme (Protection and Disclosure of Information - Commissioner) Rules 2018 [F2021C00306]

NDIS Guidelines

- National Disability Insurance Scheme (Registered NDIS Provider Notice of Changes and Events) Guidelines 2019

Responsibilities

- PeopleKind Group is responsible for ensuring the effective management within all organisations of the group of maintaining a complete and accurate recordkeeping programme which will support good corporate governance and compliance to legislative requirements and best practice standards.
- The Chief Executive Officer and Senior Executives are responsible for complying with the spirit of this policy and ensuring that all employees of PeopleKind Group act in good faith and in accordance with this policy.

- Managers are responsible for monitoring compliance with this policy and reviewing this policy to ensure that it is operating effectively.
- All employees are responsible for:
 - acting in good faith and complying with the Customer Service Guide, the PeopleKind culture, this policy; and
 - acting ethically and with integrity, honesty, and transparency at all times.

Concise Summary of Key Changes Made in This Review of Document

The Policy Context and Related Legislation section of this document has been reviewed and updated.

Monitoring, Review, and Evaluation

This policy will be reviewed every three years. However, if at any time the legislative, policy or funding environment is so altered that the policy is no longer appropriate in its current form, the policy shall be reviewed immediately and amended accordingly. This process will include the following.

- Ad hoc review and evaluation of current practices
- Periodic self-assessment
- Internal Audits
- External Audits

PeopleKind Group will record and monitor progress of any improvements identified and feed that into service planning and delivery processes.

Breaches of the Records Management Policy

Any breaches of the Records Management Policy could constitute a possible act of misconduct. Reference is accordingly made to PeopleKind Group Employee Discipline and Termination Policy which outlines the relevant processes that may be followed if misconduct is suspected.

Authorisation Template

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