

YMCA NSW**Records and Document Management Policy****1. Document control**

Overview	Sets the expectations and processes for the lifecycle management of records and documents.
Objective	<p>This Policy is designed to assist all YMCA NSW staff in the management of, including the collection, use, access, retention and destruction of:</p> <ol style="list-style-type: none"> 1. The personal information of staff, clients and others, and 2. Confidential information held by YMCA NSW services or offices. 3. Business information held by YMCA NSW services or offices. <p>This is to ensure adequate records are maintained and these are managed and controlled effectively commensurate with legal, operational and information requirements.</p> <p>This Policy works in conjunction with the Australian Privacy Principles contained in the <i>Privacy Act 1998 (Cth)</i>, and the <i>YMCA NSW Privacy Policy, Australian Records Management Standard</i> and <i>YMCA Approach to Redress</i>.</p>
Scope	<p>All YMCA NSW</p> <p>This policy applies to all records/documents held by YMCA NSW staff, relating to information created or received in the course of business and captured in a readable form in any medium including:</p> <ol style="list-style-type: none"> 1. Administrative records (including, personnel, financial and accounting records, contracts, litigation, complaint handling and minutes). 2. Client and staff records. 3. Records in all electronic formats 4. All records/data/documents created by staff and volunteers arising from or in the course of their employment with YMCA NSW.
Policy owner	Business Operations
Policy approver	Chief Executive Officer
Effective date	03 August 2016
Review date	03 August 2017
Related procedures	YMCA NSW Records and Document Management Procedures Storage Facilities Procedures

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2. Definitions

Term	Definition
Document Breakdown Structure (DBS)	Visually maps the inputs and outputs of documents in each business unit
Library	Single source of information database
Control Page	Function of the DBS which displays relevant information relating to a document and search functionality by control element
Control element	A retention criteria within the single source document control page
Office	Any location that provides admin functions within a service within a DBS
Service	Any location that is operated on behalf of YMCA NSW
Staff	Any person YMCA NSW employs, or engages – including paid employees, volunteers, Board Directors, contractors, consultants and student placements.
Client	Any user of YMCA NSW services – children's services, recreation services, camping services and community programs including children, young people, vulnerable adults, parents/guardians and facility users.
Single source document	A type of document that comes from one database and is common organisation wide – such as a policy.
Confidential Information	Confidential Information means any non-public information pertaining to a person or YMCA business.
Business information	Refers to any material generated by staff throughout the course of their employment at YMCA NSW.

3. Policy statement

YMCA NSW is committed to establishing and maintaining information and data management practices that meet its legislative needs, accountability requirements and best practice.

4. What YMCA will do to promote this policy

Relevant staff will receive training on the management of Confidential and Highly Confidential information including the maintenance of appropriate security of such information under their control. This will form part of induction and be located on the YHUB.

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5. Policy Requirements

5.1 Collection of Information

- Information gathered by the service or broader YMCA NSW will be collected in line with this Policy and the *YMCA NSW Privacy Policy*
- The requirement for collection, disclosure and modification of data is outlined in the *YMCA NSW Privacy Policy*.

5.2 Classification of information

- The Procedures (available in October 2016) provide a matrix for determining the classification of documents.

5.3 Use and disclosure of records

- Use of personal information should be restricted to the purpose for which it was provided. Where consent is obtained the information may be used beyond the initial purpose

5.4 Access and storage of records

5.4.2 Digital

- Access to information should be restricted to those to whom it is necessary for the effective performance of their work
- Prior to the purchase of any service or product which includes the collection, access and storage of, YMCA NSW information, approval is to be obtained from the IT Manager.

5.4.1 Hardcopy

- Information will be stored in a manner that ensures the appropriate level of confidentiality and security of the information in line with the 'Storage Facility Procedures (available for deployment in July 2016)
- Hardcopy data will also require clear labelling on storage boxes.
- Managers will be responsible for the management of access to records by their staff in accordance with the Policy and Procedures (available in October 2016)
- The level of security should be proportional to the risk if the information is not secured.

5.6 Retention and destruction of records

- Determination of the need to retain information will include; legal requirements, likely need for later use of the information and compliance with the DBS control page
- Where paper/hard copy records have been scanned and retained electronically (in accordance with the Procedures (available in October 2016), the paper copies should be destroyed by secure means.

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5.7 Archiving of documents

- Types of documents for archiving and the location of their storage are outlined in the DBS control page.
- YMCA NSW digital archives will be the responsibility of IT Services within YMCA NSW
- YMCA NSW hard-copy archives will be the responsibility of the CEO Office within YMCA NSW.

6. Implications

Failure to adhere to this policy or associated Procedures is viewed as serious misconduct and may lead to disciplinary action, up to and including formal warning, demotion or termination of employment or cessation of volunteer agreement.

7. Accountability and responsibility

Role	Responsibility
Board of Directors	<ul style="list-style-type: none"> • Ensure adequate resources are allocated to allow effective implementation.
Chief Executive Officer	<ul style="list-style-type: none"> • Ensure management understands their obligations in accordance with the Records and Document Management Policy.
Executive Leadership Team	<ul style="list-style-type: none"> • Ensure management understands their obligations in accordance with the Records and Document Management Policy. • Plan organisational resources and requirements for policy implementation.
Business Operations/Business Office	<ul style="list-style-type: none"> • Ensure the monitoring and review of the policy requirements, system development, quality BAU change control monitoring of compliance reporting and implementation. • Review the Guidelines yearly
Human Resources	<ul style="list-style-type: none"> • Advice on the Policy and Procedures
DBS Business Owners	<ul style="list-style-type: none"> • Promote and adhere to standardisation • Review the DBS yearly
Managers and Supervisors	<ul style="list-style-type: none"> • Include in staff induction • Promote and adhere to standardisation • Support all training and development initiatives targeted to raise awareness of this policy • Follow the guidance, training and resources provided for the implementation of this policy. • Ensure all staff adheres to the Records and Document Management Policy.
Staff and Volunteers	<ul style="list-style-type: none"> • Staff and volunteers are required to sign the acceptance of this policy as part of their position and adhere to the policy requirements.

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YMCA NSW**Records and Document Management Policy****8. Interactions with related documents**

Related policies	Link to the policy
YMCA NSW Privacy Policy	
YMCA NSW Storage Management Policy	Available Q1 2017

Related procedures	Link to the procedure
Redress Process Manual	
Storage Facilities Procedures	
YMCA NSW Records and Document Management Procedures	Available Q4 2016

Other related documentation	Link to documentation

Related legislation	
Australian Privacy Principles	Privacy Act 1998 (Cth)
Children (Education and Care Services National Law Application) Act 2010 No 104	Education and Care Services National Regulations 2010
Disability Inclusion Act 2014 No 41	NSW Disability Services Standards
Fair Work Act	WHS Act 2011
Public Governance, Performance and Accountability Act 2013	

9. Monitoring, Evaluation and Review

The Records and Document Management policy will be reviewed annually, in consultation with YMCA NSW Board, Executive Leadership Team and other stakeholders.

10. Document History and Version Control

Version	Date Approved	Author	Brief Description
1	03.08.16	G. Middleton	New Policy

11. Endorsement

I endorse the Records and Document Management Policy:

Name	<i>HELSA HARA</i>	Role	<i>CEO</i>
Signature	<i>[Handwritten Signature]</i>	Date	<i>3/8/16</i>

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