# Policy guide and checklist

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| This front page is to guide users in creating your Policy and Procedure.  **Delete** this table once your Policy and Procedure has been approved and finalised.  Before submitting this Policy and Procedure for approval, check that you have completed the following:   * Read the HSQF Framework * Read the HSQF User guide - for Certification, or User Guide – Self-Assessable, depending on your service agreement and what applies to your organisation. * Referred to the most recent HSQF Version Control Register and Log of Changes * Updated or deleted all the yellow highlighted sections in this document * Updated the document code and version number to suit your organisation’s naming convention * Updated the supporting documents section (where relevant) * Updated the header and footer of this document * Added a review date * Logged any changes of your internal policies in your register * Removed QCOSS branding and replace with your organisation’s * Removed this page/table from your final version. |

Records and Information Management Policy and Procedure

#### Document Code / Version Number

# Policy Statement

{Organisation Name} organises, stores, accesses and disposes of records in a way that conforms to legislative, contractual and Quality Management System (QMS) requirements.

Effective record control protects commercial interests and individual confidentiality, and privacy and facilitates efficient internal information flow. The records we keep are legible, identifiable and retrievable.

We follow processes that control the identification, storage, protection, retrieval, retention and disposal of records.

## Scope

This Policy and Procedure apply to {Organisation Name} as a whole.

This Policy and Procedure must be read in conjunction with our Privacy and Confidentiality Policy and Procedure.

# HSQF Related Standards

* Human Services Quality Standards Indicator 1.7
* Human Services Quality Standards Indicator 4.1

# Related Legislation

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| --- | --- |
| Common | * *Human Rights Act 2019* * *Information Privacy Act 2009 (Qld)* * Information Privacy Principles * *Right to Information Act 2009 (Qld)* * *Privacy Act 1988 (Cth)* * Australian Privacy Principles * *Privacy Amendment (Notifiable Data Breaches) Act 2017* * [*Notifiable data breaches - Home (oaic.gov.au)*](https://www.oaic.gov.au/privacy/notifiable-data-breaches) * [Information Privacy Act 2009: Obligations of Contracted Service Providers](https://www.oic.qld.gov.au/guidelines/for-government/guidelines-privacy-principles/contracted-service-providers/contracted-service-provider-checklist) *(Office of Information Commissioner Queensland)* * [Information Privacy Guide](https://www.csyw.qld.gov.au/resources/dcsyw/about-us/right-to-information/privacy-guide.pdf) *(*Department of Children, Youth Justice and Multicultural Affairs*)* * [Guide to undertaking privacy impact assessments - Home (oaic.gov.au)](https://www.oaic.gov.au/privacy/guidance-and-advice/guide-to-undertaking-privacy-impact-assessments) * [Inquiry into the use of electronic monitoring at disability accommodation sites in Queensland | Office of the Public Advocate (justice.qld.gov.au)](https://www.justice.qld.gov.au/public-advocate/activities/past/inquiry-into-the-use-of-electronic-monitoring-at-disability-accommodation-sites-in-queensland) * *Service Agreement - Standard Terms,* Clause 27 |
| Child Protection Placement Services, Child Protection Support Services, and Families  {remove if not required} | * *Child Protection Act 1999* * Department of Children, Youth Justice and Multicultural Affairs (DCYJMA) *Information Sharing Guidelines – To meet the protection and care needs and promote the wellbeing of children* * Section 7 *Child Protection Regulation 2011* * *Child Protection Act 1999 -* Service Agreement – Funding and Service Details * DCYJMA’s *Recordkeeping Guide for Funded Non-Government Organisations* [*Recordkeeping requirements for non-government organisations - Department of Children, Youth Justice and Multicultural Affairs (cyjma.qld.gov.au)*](https://www.cyjma.qld.gov.au/about-us/our-department/partners/child-family/recordkeeping-requirements-non-government-organisations) |
| Children and young people in care | * [Social media guidelines | Community support | Queensland Government (www.qld.gov.au)](https://www.qld.gov.au/community/caring-child/foster-kinship-care/information-for-carers/rights-and-responsibilities/carers-responsibilities/social-media-guidelines) |
| Child Protection Support Services, Families  {remove if not required} | Assessment and Service Connect and Family and Child Connect (also known as Community Based Intake and Referral Services)   * [*Funding, grants and investment - Department of Children, Youth Justice and Multicultural Affairs (cyjma.qld.gov.au)*](https://www.cyjma.qld.gov.au/about-us/our-department/funding-grants-investment) * *Information Sharing Guidelines (Section 5A) of the Domestic and Family Violence Act 2012* * *Section 159C of Child Protection Act 1999* |
| Domestic and Family Violence  (Inc. Women’s Shelters)  {remove if not required} | * Part 5A of the *Domestic and Family Violence Protection Act 2012* * *Domestic and Family Violence Information Sharing Guidelines* (May 2017) * Section 159C of the *Child Protection Act 1999* * Principle 5: Confidentiality – Practice Standards for Working with Women Affected by Domestic and Family Violence * Professional Practice Standards for Working with men who perpetrate domestic and family violence |
| Disability Services  {remove if not required} | * *Disability Services Act 2006* * Section 9, *Disability Services Regulation 2017* |

# Definitions

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| {add definitions relevant to your organisation} |  |

# Principles

The principles to support the organisation's information and records management are:

* Secure - personal information is kept safe, including physical, digital and administrative protections
* Skilled - staff are trained and understand their obligations to manage records, information transfer, and privacy and confidentiality.

# Procedure

## Client records and information

* {Organisation name} manages client records and information by:
* {Describe here how you handle client records and information, including:
* Where they are kept
* How you prevent damage and loss
* Retention periods
* How you dispose of them
* How you maintain privacy and confidentiality
* Who has access to them, and how you disclose information. Include access tiers if applicable}
* {Reference applicable legislation, e.g. for families and child protection placement and support services, references the requirements for maintaining records and files in accordance with the *Child Protection Regulation 2011* and your *Service Agreement*}
* {Reference the guidelines and principles where electronic monitoring is in use, e.g., Disability Accommodation Services and Women's Shelters as referenced in *Appendix A - Regulated Legislation*}

## Staff and volunteer records and information

* {Organisation name} manages staff and volunteer records and information by:
* {Describe here how you manage staff and volunteer records and information, including:
* Where they are kept
* How you prevent damage and loss
* Who has access to them. Include access tiers if applicable}

## Accessing and amending records

* Clients are made aware of their right to access their personal information by:
* {Include: communication method here}
* Clients and staff have the right to:
* Request access to their personal information without providing a reason
* Make corrections if they consider the information is not accurate, incomplete or not up to date.
* The {include: Position Title} decides to grant access or to amend personal information. {include: how information is provided when requested, e.g. only in hard copy}
* If access is denied or delayed, {include: Position Title}:
* {Include: other processes such as informing the person if the access is denied, reasons for the delay, or how information is provided when requested, e.g. only in hard copy}
* If the Department holds the client's information, the client is told of their right to access this information through the *Right to Information Act 2009*.

## Archiving and record retention

* We group our records as:
* Client records
* Staff and volunteer records
* Administrative records
* Financial records
* {Add any additional here}
* {include: Position Title} maintains the Archives Register.
* The Archives Register records the date of archiving, the file contents, the archive box name and number, and the file number and date of destruction
* When archiving records, we:
* {Include: specific details of your archiving process, including:
* Responsibilities and timeframes
* Include how you store records during the retention period
* Where they are stored
* What you do once the retention period has been reached}.

## Electronic data

* We have the necessary approval and privacy measures in place for data to be stored by an external or cloud-based provider {remove if not required}
* We respond promptly to security breaches as required by legislation and our Service Agreement {remove if not required}
* Where we use electronic monitoring, we comply with the requirements of our service agreement and relevant legislation {remove if not required}
* We manage electronic data and cloud-based or online technology by:
* {Include: your process for managing electronic data and if you use cloud-based or online storage technologies.
* Include: responsibilities and access tiers, if applicable}
* {Include: where your data storage is hosted (Australia or overseas) and how you back up your data}.

## Emails

* Emails are our primary form of written correspondence. We manage email communication by:
* {Include: any email rules emails, such as:
* Personal email usage
* Circumstances where email must not be used (such as most client communication, personal confidential documents, etc.).
* Which emails are saved and where?}

# Related Policies and Procedures

* Privacy and Confidentiality

# Supporting Documents

{List your supporting documents here, e.g. registers or forms}

# Review

This document was last reviewed on {include: date}.