

## D.14 Document Management

### 1.0 INTRODUCTION/BACKGROUND

As part of its commitment to accuracy, accountability, responsible use of resources, and clarity in communication, the Mercy Services Board expects the creation and management of Mercy Services documents to be relevant, clear, consistent, and controlled.

Official documents are a vital asset for ongoing operations, provide evidence of Mercy Services activities and transactions, assist Mercy Services to make informed decisions and improve Mercy Services practice by providing accurate records of what has occurred.

### 2.0 SCOPE

The scope of this policy applies to all employees and volunteers of Mercy Services and to all official Mercy Services documents, in any format and from any source. Examples include paper, electronic messages, digital documents, records, video, DVD, web-based content, plans, photographs and pictures.

### 3.0 POLICY STATEMENT

Documents created, received or used by Mercy Services employees/volunteers in the normal course of Mercy Services activities are the property of Mercy Services, unless otherwise stated in writing by the Chief Executive Officer (CEO). This includes the work of external consultants commissioned by Mercy Services.

Documents will be:

- 1) created to an appropriate level of quality and in a consistent manner across Mercy Services;
- 2) stored in one place especially when they are used by multiple people/services;
- 3) viewable and editable by persons according to their role at Mercy Services; and
- 4) stored securely, reviewed, utilised, archived and disposed of in accordance with Mercy Services guidelines and procedures.

### 4.0 PROCEDURES

#### 4.01 Document Management System

The Mercy Services document management system assists Mercy Services staff to create documents, capture information, protect document integrity and authenticity, provide access to documents, store, archive and dispose of documents, and ensure relevant documents are retained.

The Mercy Services document management system is managed by the Manager: Tighes Hill, who provides ongoing support, development and training to Mercy Services employees and volunteers, so that Mercy Services' legislative, service and community responsibilities are met.

The Manager: Tighes Hill will ensure that all staff:

- (a) routinely capture and retain official documents;
- (b) only access Mercy Services documents for which they have authorisation;
- (c) protect Mercy Services documents from unauthorised alteration or deletion; and
- (d) maintain one primary, authoritative source of information:
  - (i) for Mercy Services document templates and Mercy Services service brochures; and
  - (ii) relevant to Mercy Services organisational decisions/actions and to Mercy Services clients.

All Mercy Services employees and volunteers who create, receive and keep documents as part of their daily work should do so in accordance with Mercy Services policies, procedures and standards. Staff should not undertake disposal of documents without authority – and then only in accordance with authorised disposal procedures.

The Mercy Services logo may be used on external documents and brochures following approval from the CEO.

Any dispute about document management will be resolved by the Mercy Services Management Team.

#### **4.02 Creation of Documents**

The Management Team has the authority to approve Mercy Services letterheads, forms and brochures for internal and external use. Mercy Services staff and volunteers will not use unapproved Mercy Services letterheads, forms and brochures (see also E.09 Client Records).

Official Mercy Services documents will contain the following as standard:

1. Date of that version
2. Font: Arial, 12 pitch
3. Logo – Mercy Services logo
4. Mercy Services Australian Business Number 34 095 335 309 (if the document concerns finances)
5. Acknowledgement of funding source
  - a) Home Care Packages *“This activity is funded by the Australian Government.”*
  - b) Community Nursing *“This activity is jointly funded by the Australian Government and the NSW Government Department of Family and Community Services. Funding is also from NSW Health through the Non-Government Organisation Grants Program”*
  - c) Home Support Program (formerly Home & Community Care for older persons): *“This service is supported by funding by the Australian Government under the Commonwealth Home Support Program.”*
  - d) Community Care Supports Program (formerly Home & Community Care for people under 65 years old with a disability): *“This activity is supported by Ageing, Disability and Home Care, Family and Community Services.”*
  - e) McAuley Outreach *“This service is wholly funded by the NSW Department of Health and Hunter New England Area Health.”*

- f) Brighter Futures “*This activity is funded by NSW Government Department of Family and Community Services.*”
  - g) Community Transport “*This activity is jointly funded by the Transport for NSW and the Australian Government and the NSW Government Department of Family and Community Services: Ageing, Disability and Home Care.*”
  - h) Support Coordination Program. “*This activity is supported by NSW Government Department of Family and Community Services: Ageing, Disability and Home Care.*”
6. Contact Details (at least an email or phone contact).

The CEO or Manager (Tighes Hill) will inform relevant employees and volunteers when documents are created and updated.

#### 4.03 Location of Documents

Mercy Services Official Records such as the original company registration certificate, Australian Business Number, endorsements as a deductible gift recipient and public benevolent institution, annual reports and returns, and the like will be kept digitally at M:\Shared\Mercy Services Info and a paper copy is kept in the CEO's office.

Mercy Services Board Documents such as official correspondence, board, AGM and special meeting minutes, membership register, funding agreements, insurance policies and the like will be kept digitally at M:\Management\Board Documents and a paper copy is kept in the CEO's office.

Mercy Services Organisational Policy will be kept:

- 1) Master copies are kept on the server at: M:\Management\Policies and Procedures. A paper copy is kept at Mercy Services head office.
- 2) PDF copies are kept digitally on the server at M:\Shared\POLICY and on the website [www.mercyservices.org.au](http://www.mercyservices.org.au)
- 3) Mercy Services Organisational Documents such as Strategic and Operational Plans, Work Health and Safety minutes, brochures, forms and meeting minutes will be kept on the server at M:\Shared and can be altered by administration and where relevant, other staff.

Mercy Services Program Specific Documents such as forms, care plans, letterheads and templates are kept at: M:\Shared\Forms & Letterhead.

Mercy Services Confidential Documents

- 1) Personnel files are kept with Payroll. Supervisors may also keep supervision/performance review and development records in a secure location. Electronic information is kept in the Accounts and Management folders.
- 2) Client files are kept in relevant databases (e.g. Carelink+) and paper copies kept in locked filing cabinets in the relevant program office. As much as is possible client files are kept electronically as these have greater potential of being accessed off-site or recovered after a disaster.

#### 4.04 Disaster Recovery - Records

The servers at each Mercy Services site contain a copy of the organisation's electronic files. Mercy Services staff can log-on at any site, which enables business continuity if one or two sites are inaccessible. All email goes through Tighes Hill.

The Mercy Services Server at Tighes Hill is backed up each evening and the back-up disk is stored in the fire proof safe at Tighes Hill in the event of fire, damage or theft.

A back-up of all data including Carelink+ (client management database) is done each night and a copy stored off-site by the Manager: Tighes Hill.

A back-up of the Community Transport client management database is done each night and a copy stored off-site by the senior staff.

#### 4.05 Electronic File Management Guidelines

Electronic file management refers to email, text messages, word processing documents, spreadsheets, web content, and/or forms. Managing electronic files is similar to paper files, but in a different medium.

Documents and records contain essential information to enable the organisation to provide quality service. They are the property of the organisation (not the worker) and need to be easily found when workers now or in the future need them.

General principles of file management:

- keep documents that contain information essential for service or business operations;
- keep documents that contain information that may be required for legal purposes;
- name and save in a way that is easy to find; and
- name and save in a way that is easy to transfer to archives.

#### 4.06 File names

When saving or creating new documents, follow these simple rules to ensure their accuracy and accessibility:

1. Give all electronic documents names that make sense to others; this makes them easier to find at a later date.
2. Make the name of the document as short as possible (some operating systems don't cope with long names).
3. If the document records a meeting or other event add the date (two digits for day, two digits for month and two digits for year e.g. 1<sup>st</sup> April 2009 = 010409)
4. If you're revising a document, note the revision number on the first page and save it with the revision number in its name e.g. Plan\_revision2.doc.
5. Do not truncate words, such as using 'mtng' for 'meeting' (this will cause problems when searching on terms).
6. Include details such as the subject of the document, version number, date, type of document, etc.

Examples:

- GP Letter for Betty Grace 311208
- HCP staff minutes 241114
- Desktop management guidelines draft 1

Appropriate words to put in file names:

- Agenda
- Memo
- Note re.
- Letter
- Fax
- (client's family name)
- Allocation
- Roster
- Care plan
- DOH (=Dept of Housing)
- Client list
- Report
- Minutes

The filename and path should always be in the footer of the document. If it is not there add it: go to the "View" menu at the top of the page and select "Header and Footer", move cursor to bottom of page and choose "Filename and path" from the "Insert Autotext" option on the Header and Footer toolbar.

#### 4.07 Saving files

Emails between Mercy Services staff should be saved by the sender and not the receiver as this would be a duplication. This eliminates the problem of changes being made to both versions and no one knowing if both have the same changes.

General guidelines:

1. Save files to the M: drive in one of the folders listed below. Do not save files in "My Documents", "Desktop", or "c" drive as this makes them too hard to backup and to find.
2. Wherever possible save the file in a relevant folder. There should not be a large number of unconnected files in a folder.
3. Wherever possible create folders to save documents created during a year (July to June) (e.g. Rosters 2008-09). This makes it easier to archive folders.
4. Do not name folders after staff use some other characteristic (perhaps use a catchment area = Maitland).
5. Our folder structure only allows authorised people to view and/or modify files in each folder. This provides adequate security - do not put passwords on files or folders.

#### 4.08 Unalterable Corporate Documents

Final versions of key corporate documents such as AGM minutes, Policy, Annual Report, Strategic Plan, Acquittals, Board minutes, Management Team minutes, Coordinator minutes, WHS minutes will be filed in an unalterable format (PDF) and archived in a manner that preserves the content for long term storage.

#### 4.09 Default templates in Word, Excel, Outlook and Publisher

<i>File location</i>	=	as applicable to role
<i>Font</i>	=	Arial (size 12 point)
<i>Language</i>	=	English Australian
<i>Footer</i>	=	filename and path

<i>Margins</i>	=	2.5cm (all sides) (unless printing on letterhead which require 4.4cm margins top and bottom)
<i>Paper</i>	=	A4
<i>Printer</i>	=	ensure appropriate default printer selected, black toner and ensure printer set for double sided printing.

#### 4.10 Archiving of Documents

Unless relevant to the history and accountability of Mercy Services, or otherwise required by law, documents are retained for a period of seven years. Each year the Administrative staff will remove from the server files that are older than five years and are not currently being used. Removed files will be saved on disks and kept for an additional three years.

On-site paper and disk archives are located at Tighes Hill for all personnel, accounts and Tighes Hill based clients. Archived West Wallsend client data is stored at West Wallsend.

Mercy Services archived documents are packed in common records storage boxes with the following relevant details recorded on the outside:

- Type of document including whether it is one of a number of boxes for that type or year;
- Date of stored documents;
- Date scheduled for destruction.

Wherever possible, the following will be placed together in the same box:

- 1) documents of the same type
- 2) documents with the same final disposal date
- 3) documents with the same semi-active retention period.

General documents will be packed as they are arranged in the administration office (e.g., alphabetically, numerically, or chronologically).

Mercy Services will retain information as follows:

- Hazardous Substance Register (as per WHS Regulation).
- Financial and Corporate records are to be kept for seven years (as per Corporations Act 2001 (Cth)).
- In the case of information collected while the person was an adult – for 7 years from the last occasion on which you provided the person with a health service.
- In the case of health information collected while the person was under the age of 18 years – records are retained until the person is 25 years old.

Boxes will be packed in a manner that helps protect documents from damage and deterioration. Over-packed boxes may cause security problems. The top of a box should close easily, the box sides will not bulge, and the weight must not exceed 10kg.

Partially filled boxes may cause storage staking problems. If there are insufficient documents to completely fill a box, inert packing material will be used to fill the balance of the box, supporting documents and preventing the box from collapsing.

Files will be placed in boxes so that their labels are easily read and they are conveniently accessible.

#### 4.11 Disposal of Documents

Non-confidential documents may be disposed of through regular recycling.

Documents containing any confidential information will be shredded or placed in a secure disposal bin. When Mercy Services deletes or disposes of “health<sup>1</sup>” information it will keep a record of:

- the name of the person
- the period covered by the health information
- the date on which it was deleted or disposed of.

#### 4.12 Compliance

Compliance with this policy is being measured by:

- a) an annual audit of key corporate documents to ensure they were completed on time and if necessary saved in an unalterable format (see Appendix 1). If a deviation from the Policy is found to have occurred the Manager will address this with the relevant staff.
- b) Staff have completed education/training in document management.

#### 4.13 Evaluation

The performance indicators for the evaluation of this Policy are:

- a) 90% satisfaction with the timeliness and security of corporate files found in annual audit. (Appendix One), and
- b) 90% satisfaction with staff training in records creation and management.

### 5.0 REFERENCES

<b>1. Current issues</b>	a) nil
<b>2. Australian Standards</b>	a) nil
<b>3. Legislation</b>	a) Health Records and Information Privacy Act, 2002 (NSW) b) Privacy Act, 1988 (Cth) c) Work Health Safety Act, 2011 (NSW) and Work Health Safety Regulation, 2011 (NSW) d) Workplace Injury Management & Workers Compensation Act, 1998 (NSW) (& Workers Compensation Act Legislation Amendment Act, 2001 (NSW)) e) Corporations Act, 2001 (Cth)
<b>4. Professional guidelines</b>	a) nil
<b>5. Codes of Practice</b>	a) NSW Department of Services, Technology and Administration (DSTA): Archives and Record Management Authority of NSW “Guideline 18 - How to take control of your records” <a href="http://www.records.nsw.gov.au/recordkeeping/government-recordkeeping-manual/guidance/guidelines/guideline-18">http://www.records.nsw.gov.au/recordkeeping/government-recordkeeping-manual/guidance/guidelines/guideline-18</a>
<b>6. Codes of Ethics</b>	a) Australian Association of Social Workers Code of Ethics <a href="http://www.aasw.asn.au/document/item/1201">http://www.aasw.asn.au/document/item/1201</a>

<sup>1</sup> Refer to E.15 Privacy Policy

	b) Australian Psychological Association Code of Ethics <a href="http://www.psychology.org.au/Assets/Files/Code_Ethics_2007.pdf">http://www.psychology.org.au/Assets/Files/Code_Ethics_2007.pdf</a> c) The Nursing and Midwifery Board of Australia. Registration Requirements <a href="http://www.nursingmidwiferyboard.gov.au/Registration-Standards.aspx">http://www.nursingmidwiferyboard.gov.au/Registration-Standards.aspx</a> d) Integrity in the Service of the Church <a href="https://www.catholic.org.au/media-centre/media-releases/cat_view/10-organisations/38-national-committee-for-professional-standards">https://www.catholic.org.au/media-centre/media-releases/cat_view/10-organisations/38-national-committee-for-professional-standards</a> e) Mercy Services Code of Conduct
<b>7. Evidence</b>	a) Commonwealth Home Support Program Manual <a href="https://www.dss.gov.au/sites/default/files/documents/06_2015/chsp_programme_manual.pdf">https://www.dss.gov.au/sites/default/files/documents/06_2015/chsp_programme_manual.pdf</a>
<b>8. Mercy Services Values</b>	a) Justice, Respect, Care, Unity, Service

## 6.0 OTHER RELATED POLICIES

- A.03 Code of Conduct – Staff/Volunteers
- D.02 Fundraising
- D.04 Payments
- D.05 Incoming monies
- D.11 Insurance
- D.13 Information Technology and Communications
- E.09 Client Records
- E.17 Privacy Policy
- F.03 Recruitment
- F.04 Learning and Development
- F.08 Employee Records
- F.10 Volunteers
- G.02 WHS Management System Policy & Procedure
- G.18 Return to Work Policy and Procedure

## 7.0 RELATIONSHIP WITH STANDARDS

<b><i>Aged Care Accreditation Standards</i></b>	<b><i>Home Care Standards</i></b>	<b><i>Disability Standards</i></b>	<b><i>EQulP Standards</i></b>
1.1, 1.2, 1.3, 1.4, 1.5, 1.6, 1.7, 1.8, 2.1, 2.2, 2.4, 3.1, 3.2, 3.6, 4.1, 4.2, 4.5, 4.6	1.1, 1.2, 1.3, 1.4, 1.5, 1.6, 1.7, 1.8, 2.1, 2.2, 2.3, 2.4, 2.5, 3.1, 3.2, 3.3, 3.4, 3.5	1.3, 1.7, 1.9, 3.1, 3.2, 3.5, 4.2, 5.2, 5.6, 5.7, 6.2	1.1.8, 1.2.1, 2.1.2, 2.2.1, 2.3.1, 2.3.2, 2.3.3, 3.1.5,

## 8.0 DOCUMENT CHANGES RECORD

<b><i>Dates of change</i></b>	<b><i>Section altered</i></b>	<b><i>Natures of changes made</i></b>
09/12/2003	Section 15 Administration and Office Procedures	First record of administration in Policy
09/02/2010	All sections	Major revision
19/07/2010	a) 4.02 b) 4.02 c) 4.03	a) Addition of Mercy Foster Grandparents Program. b) Change due recognition statement for ADHC funded services c) Listed location of paper copy of Policies
02/03/2011	a) 4.09 b) 7.0	a) Addition of requirement to keep Hazardous Substance Risk Assessments for 30 years



		b) Replace HACC Standards and CACP Standards with Common Community Care Standards
17/10/2011	a) 4.08 b) 4.10 c) 4.13 d) 4.13 e) Appendix one	a) New section b) Delete section duplicated in 4.10 c) New section d) New section e) New section
29/06/2012	a) 4.02 Creation of Documents b) 5.0 References c) Appendix one	a) Updated with new recognition of funding for HACC and ADHC programs b) Added Commonwealth HACC manual c) Date updated and DISI changed to one report for the year
26/11/2012	All Sections	Organisation name updated
28/05/2014	a) 4.02 Creation of Documents b) 4.03 Location of Documents c) 4.04 Disaster Recovery – Records d) 4.08 Unalterable Corporate Documents e) 4.10 Archiving of Documents f) 4.12 Compliance g) 5.0 References: Legislation h) 7.0 Relationship to Standards i) Appendix 1	a) Change logo. Change funding acknowledgement for: HCP; Community Nursing; HACC aged and disability, Community Transport, Foster Grandparents b) Change OHS to WHS. Add that supervisors may keep some employee records in a secure location. c) Add backup of client management databases. d) Update list of unalterable documents e) Replace archiving requirement of previous OHS Regulation with new WHS Reg. Inclusion of requirement to keep financial and corporate records for 7 years. f) Ad new (b) g) Include Corporations Act h) Replace CCC Standards with Home Care Standards. Also add Aged Care Standards. i) Updated with new and deleted old
27/04/2016	a) All sections b) 2.0 Scope c) 4.02 Creation of documents d) 4.04 Disaster Recovery - Records e) 5.0 References f) 7.0 Relationship to Standards g) Appendix 1	a) Replace GM with CEO b) Shortened c) Add reference to E.09 Client Records. Add Support Coordination and delete Foster Grandparents. d) Add Carrington back-up details e) Update Codes of Ethics and Evidence f) Updated Disability Standards g) Updated
07/09/2016	a) 4.13 Evaluation b) Appendix 1	a) change staff training to 90% satisfaction with training b) delete MDS report from list
Review due 07/09/2019		

Appendix one

**Mercy Services Key Corporate Documents Reporting**

Key Corporate Documents	Person responsible	Due date	Sent date	Must be PDF
MPP monthly data report to lead agency	AOD Manager			
CT Operational Budget	CEO			
Funding Acquittal for Government Departments	CEO			
Funding Performance Agreements	CEO			
Funding Performance Agreements Annual Reports	CEO			
ASIC annual return	CEO			
ACNC annual return	CEO			
GWEA annual return	CEO			
Service Provider Statement (Key Personnel) to Medicare Australia	CEO	<i>as required</i>		
Service Provider Annual Compliance Return to NSW Family & Community Services (ADHC)	CEO			
Key Personnel Changes for HCP to Commonwealth Health & Ageing	CEO	<i>as required</i>		
ASIC for Board changes	CEO			
Board minutes	CEO			✓
Mercy Services Annual Report	CEO			✓
Mercy Services Annual Financial reports	CEO			✓
Current rental agreements	CEO			
Mercy Services Policies ( <i>paper copy and electronic copy must be same version</i> )	Manager Tighes Hill			✓
Mercy Services Safe Work Practices ( <i>paper copy and electronic copy must be same version</i> )	Manager Tighes Hill			✓
Coordinator meeting minutes	Manager Tighes Hill			✓
Health and Safety Committee meeting minutes	Manager Tighes Hill			✓
Electronic files that are older than five years and are not currently being used are burnt to a CD	CEO			
The following records are kept for 7 years:				
• Hazardous Substance Registers				
• Financial & Corporate records				
• Information on former client/staff/volunteer adults				
Information on former client/staff/volunteer who were under 18 years is kept until they are 25 years of age				
<b>Total</b>				

Average percentage rating: .....

Further actions / comments:.....  
 .....