

POLICY AND PROCEDURES

Document Retention and Destruction Policy

Policy Approval Date:	31 May 2018
Approved by:	National Executive
Approval Resolution No:	NE 45/2018
Policy Application Date:	1 June 2018
Version No:	1
Replaced Version No & Date:	New
Next Review Date:	May 2020
Relevant Rule:	HSU Rule 89
Relevant Legislation:	Fair Work Act (2009); Fair Work (Registered Organisations) Act (2009); Occupational Health and Safety Act 2004 (Vic); Income Tax Assessment Act (1936); Corporations Act (2001)
Scope:	This policy, or parts of this policy have application to all HSU Branches

Introduction

The Health Services Union (HSU) is the union representing members employed or usually employed in the health and human service industries in Australia.

In this Policy, the HSU includes the following Branches:

- New South Wales
- South Australia/ Northern Territory
- Tasmania Branch (Trading as Health & Community Services Union)
- Victoria No.1 Branch (Trading as Health Workers Union)
- Victoria No.2 Branch (Trading as Health & Community Services Union)
- Victoria No.3 Branch (Trading as Victorian Allied Health Professionals Association)
- Victoria No.4 Branch (Trading as Medical Scientists Association of Victoria)
- Western Australia

Policy Statement

HSU National Officers and employees are expected to uphold the integrity of the Union in the highest manner when undertaking their duties and in their undertakings with members, employers, outside organisations and suppliers.

HSU National Officers and employees must behave honestly and with integrity in the course of their employment or duties.

HSU National Officers and employees must disclose, and take reasonable steps to avoid, any conflict of interest (real or apparent) in connection with Union employment or duties.

HSU National Officers and employees must not make improper use of inside information or use their duties, status, power or authority in order to gain, or seek to gain, an improper benefit or advantage for themselves or for any other person.

HSU National Officers and employees must at all times observe The Financial Responsibilities of Officers as determined by the Rules of the Union.

Branch Policy

Where a Branch does not have a policy consistent with this policy, this policy will apply to that Branch substituting the Branch structures, officers and employees with those contained in this policy where appropriate.

Definitions

'Board' means a group of persons who supervise, govern or otherwise have oversight of a corporation, organisation, association or other like body including a Board of Directors.

'conflict of interest' includes:

- a) an actual conflict of interest, where a material interest interferes with the proper performance of the duties of the employee or member, and
- b) an apparent conflict of interest, where it could be perceived by others that the material interests of the member interferes with the proper performance of the duties of the member, whether or not this is in fact the case, and
- c) a potential conflict of interest, where the material interests of the member could interfere with the proper performance of the duties of the member in the future.

'Council' means the National Council of the HSU.

'employee' means HSU National employee.

'Executive' means the National Executive of the HSU.

'Finance Committee' or **'Committee'** means the National Finance Committee of the HSU

'Financial Controller' means the person appointed to manage and operate the financial accounts of the Union on a day to day basis and appointed as such by resolution of the Executive.

'gift' means present, benefit, offering, or token of appreciation from a member, employer, vendor, supplier, potential employee or potential vendor or supplier and includes, but is not limited to, cash, merchandise, services, hospitality or social invitations whether offered free or discounted.

'HSU National' or **'National'** means National Office of the HSU.

'HSU Rules' means the rules of the HSU registered in accordance with the Act.

'member' means a member of the National Council, National Executive or National Finance Committee or any national committee or sub-committee as defined by the rules of the Union.

'National Officer' or **'Officer'** whether paid or not, has the same meaning as the phrase 'officer of an organisation' in Division 3A of Part 2 of Chapter 5 of the *Fair Work (Registered Organisations) Act 2009*.

'transaction' means any financial transaction, arrangements or relationships (including any indebtedness or guarantee of indebtedness) or any series of similar transactions, arrangements or relationships.

'The Act' means the *Fair Work (Registered Organisations) Act 2009*.

Policy

1. Purpose

- 1.1 This Policy facilitates the systematic and proper management of all documents (including electronic documents) related to the transaction of HSU business. This policy sets out how documents are to be stored and for what period of time. This policy further sets out when and how documents are to be destroyed.
- 1.2 The Policy is designed to ensure compliance with federal and state laws and regulations, to protect the privacy of members, to prevent accidental or innocent destruction of records and to promoting efficiency by facilitating the appropriate and necessary destruction of relevant documents.

2. Document Retention

- 2.1 The HSU follows the document retention procedures outlined below. Documents that are not listed but are substantially similar to those listed in the schedule will be retained for the appropriate length of time.

Corporate Records

Document/ Report	HSU Policy	Legislated
Annual Reports to Registered Organisations Commission	Permanent	7 years
Rules (current and expired versions)	Permanent	
National Executive Meeting and Finance Committee Minutes	Permanent	7 years
Policies	Permanent	7 years
Fixed Asset Records	Permanent	7 years
Contracts (after expiration)	5 years	5 years
Correspondence (general)	3 years	

Accounting and Corporate Tax Records

Document/ Report	HSU Policy	Legislated
Annual Audits and Financial Statements	Permanent	7 years
Depreciation Schedules	7 years	7 years
General Ledgers	7 years	7 years
Business Expense Records	7 years	7 years
Journal Entries	7 years	7 years
Invoices	7 years	7 years

Sales Records (box office, concessions, gift shop)	7 years	7 years
Petty Cash Vouchers	7 years	7 years
Cash Receipts	7 years	7 years
Credit Card Receipts	7 years	7 years

Bank Records

Document/ Report	HSU Policy	Legislated
Check Registers	7 years	7 years
Bank Deposit Slips	7 years	7 years
Bank Statements and Reconciliation	7 years	7 years
Electronic Fund Transfer Documents	7 years	7 years

Payroll and Employment Tax Records

Document/ Report	HSU Policy	Legislated
Payroll Registers	7 years after termination	7 years
Earnings Records	7 years	7 years
Garnishment Records	7 years	7 years
Payroll Tax returns	7 years	7 years

Employee Records

Document/ Report	HSU Policy	Legislated
Employment Records	7 years after termination	7 years after termination
Accident Reports and Worker's Compensation Records	7 years after termination	7 years after termination
Employment Agreements	7 years after termination	7 years after termination
Time Cards/Sheets	7 years after termination	7 years after termination
Grant Applications and Contracts	5 years after completion	Not clear

Legal, Insurance and Safety Records

Document/ Report	HSU Policy	Legislated
Appraisals	10 years	
Insurance Policies	10 years	
Real Estate Documents	Permanent	
Trademark Registrations	Permanent	
Leases	6 years after expiration	
General Contracts	3 years after termination	

Member Records and Files

Document/ Report	HSU Policy	Legislated
Membership [system] Records Includes requirement to keep a membership roll as at 31 December annually and the roll as used for elections.	Permanent	7 years
Case Files/ Legal files; including all Appeals and Full Bench matters	Electronic file – permanent Paper records – 5 years after completion	

3. Electronic Documents and Records

- 3.1 Electronic documents will be retained as if they were paper documents. Therefore, any electronic files, including records of donations made online, that fall into one of the document types on the above schedule will be maintained for the appropriate amount of time. If a user has sufficient reason to keep an email message, the message should be either printed in hard copy and kept in the appropriate file; saved as a copy in the relevant electronic file; or moved to an “archive” computer file folder. Backup and recovery methods will be tested on a regular basis.

4. Emergency Planning

- 4.1 The HSU’S records will be stored in a safe, secure and accessible manner. Documents and financial files that are essential to keeping the Organization operating in an emergency will be duplicated or backed up at least every week and maintained off site.

5. Document Destruction

- 5.1 The HSU’s Compliance Officer is responsible for the ongoing process of

identifying the records which have met the required retention period and overseeing their destruction. The Compliance Officer will ensure that records will be assessed on at least six-monthly, and schedule relevant documents in all formats for destruction. Destruction of financial and personnel-related documents will be accomplished by shredding.

- 5.2 Document destruction will be suspended immediately, upon any indication of an official investigation or when a lawsuit is filed or appears imminent. Destruction will be reinstated upon conclusion of the investigation.

6. Compliance

- 6.1 Failure on the part of employees or contract staff to follow this policy can result in possible civil and criminal sanctions against the HSU and its employees or contract staff and possible disciplinary action against responsible individuals. The Finance Committee will review these procedures in accordance with the scheduled review dates or when the HSU becomes aware of any legislative changes to ensure compliance with new or revised regulations.

7. Variations to the Policy

- 7.1 This Policy may be varied from time to time and an updated version will be posted on the HSU's websites. Please check our websites regularly to ensure that you have the most recent version of the Policy.

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