



U3A-ACT Policy Number: PO201513

Document Management Policy	
Publication date: 21 June 2021	Applies to: All members
Responsible person: Secretary	Scheduled review date: At least once every three years
Approved by: Committee meeting 15 June 2021	Author: Secretary

INTRODUCTION

U3A ACT Inc. (U3A) produces a broad range of documents. They are generated by:

- Committee processes
- External contracts and commitments
- Management coordinators and their teams
- Members (when members' activities relate to documents defined as U3A documents)

The *Associations Incorporation Act 1991* (the Act) and the Objects and Rules of U3A set out a number of requirements for managing access to these documents.

Associations Incorporation Act 1991 Requirements

- Members have the right to obtain a copy of:
 - U3A's Objects and Rules
 - a summary of the minutes of any Committee meeting and U3A may charge a fee (section 35) for this service.
- The Committee may refuse to give a member access to:
 - the Objects and Rules, or Committee meeting minute summaries or
 - any other documents that the Objects and Rules allow a member to access, if the Committee is satisfied that access would be prejudicial to U3A's interests (section 35A).
- U3A's Objects and Rules can provide the circumstances under which access to such documents will be either allowed or restricted, including requiring a member to state the purpose for which he/she wants access (section 35A).
 - No rule of this type has been made by U3A at the date of this Policy.

- A U3A member may apply to the Committee to inspect the register of members (section 67A), and:
 - the Committee must refuse access if complying would give access to any personal information that is protected under the Act (by section 67B).
 - the Committee may refuse access if it is sought for a purpose:
 - not directly related to the management or the purposes of U3A
 - prohibited by U3A's rules (such a rule has not been made at the date of this policy)
 - that the Committee is satisfied is improper.
- A member can request the Committee to restrict access to his/her personal information in the register of members (section 67B), and the Committee must do so if it is satisfied special circumstances justify the request. If the Committee refuses a request the member may initiate U3A's dispute resolution process and access cannot be given to the member's personal information without his/her consent for 28 days.

U3A Rules Requirements

- The Secretary must keep in his/her custody or under his/her control all records, books and other documents relating to the association (Rule 20);
- The Treasurer must keep correct accounts and books showing the financial affairs of the association (Rule 21, 1(b))
- The records, books and other documents of the association to be open to inspection, free of charge, by a member of the association (Rule 44).

PURPOSE

This policy sets out the rules for managing U3A documents consistently with the Act and other applicable laws, U3A's Objects and Rules and other U3A Policies, in particular, the Privacy Policy.

DEFINITIONS/KEY WORDS

U3A documents: Materials which are required or need to be retained to ensure the proper conduct of U3A business.

These documents include:

1. U3A's Objects and Rules, register of members, accounting records, and other documents required to be kept by law or under the Objects and Rules
2. Committee papers and meeting records
3. Committee-approved documents
4. Official publications
5. Operational procedures
6. Key emails
7. Manuals
8. Records of sub-committees and working groups (should these be generated)
9. Images, video and sound recordings relevant to U3A's history.

Materials excluded from the above definition: Working drafts, notes or papers in development as well as course materials (which are the property of course presenters).

Central Electronic Repository (CER): repository (approved for use by the U3A Committee) for electronic storage of U3A documents. Currently, the approved CER is Google Drive.

Document Authoriser: a person authorised by the Secretary (with the assistance of the DMO) to approve a document to be kept as an official record of U3A.

Document Management Officer (DMO): a person appointed by the Secretary to perform document management duties as described in this policy. Assistant Document Management Officers, also appointed by the Secretary, may perform document management tasks as delegated by the DMO.

POLICY

1. This policy applies to all U3A documents. It will be applied consistently with and subject to the provisions of *the Acts Incorporation Act* and U3A's Objects and Rules described in the Introduction and the rights of members under those provisions.
2. The CER is managed by the DMO who reports to the Secretary.

The DMO:

- 2.1. Is authorised to add, amend, or delete documents in the CER in accordance with this policy and as requested by Document Authorisers.
 - 2.2. Cannot make changes or deletions to documents, files or folders without authorisation from a Document Authoriser or the Secretary.
 - 2.3. Ensures documents are filed according to a documented filing system.
 - 2.4. Manages access to the CER on behalf of the U3A Committee, unless required by the Act or U3A's Objects and Rules as determined by the Committee.
 - 2.5. Ensures that regular and appropriate back-ups are undertaken of the CER.
3. All documents in the CER are classified into four access categories by the Secretary with the assistance of the DMO:
 - 3.1. Available to the general public (category G)
 - 3.2. Available to all members (category M)
 - 3.3. Available to current Committee Members (category C)
 - 3.4. Restricted access document (category R)
 - 3.5. Documents may fall into both category C and category R at the same time.
 4. Documents can be accessed according to each category:
 - 4.1. Category G are accessible as read-only documents from the U3A public website.
 - 4.2. Category M are accessible as read-only documents to all members as determined by the Committee.
 - 4.2.1. The Committee will endeavour to ensure that hard copies of Category G and M documents are available (on request) at U3A offices for members who do not have access to the Internet.
 - 4.2.2. The Committee retains the right to limit hard copy access under 4.2.1 if demands from members exceed U3A's capacity to provide the service.
 - 4.3 Category C are accessible from the CER to all Committee members (as read-only documents).
 - 4.4 Category R are accessible as read-only documents from the CER. Access is limited to members as identified by the Committee or by the Document Authoriser in the relevant area.
 - 4.4.1 The relevant Document Authoriser must regularly advise the DMO who is entitled to access documents and whose access should be withdrawn.

- 4.4.2 This category generally contains sensitive documents or issues relating to a specific volunteer issue.
5. New or amended documents may only be added to the CER if they have been authorised by an approved Document Authoriser.
- 5.1. A Document Authoriser may delegate authority, but only for sections of the CER for which he or she has responsibility and he or she must inform the DMO of the delegation. Document Authorisers must provide documents to the DMO for filing in the CER. Official copies of all U3A documents are held in the CER.
- 5.2 Documents which do not originate in electronic format must be converted to electronic format and filed in the CER.
- 5.3 Originals should then be destroyed.
- 5.4 In exceptional circumstances, some items may also require filing as hard copies:
- 5.4.1 The Secretary will decide which documents should be held as hard copies.
- 5.4.2 The CER copy of a hard copy document should note the location of the hard copy.
6. Documents may only be added to the CER, moved within it, or deleted from it by those who are approved to do so by the Committee. These persons are:
- 6.1 The Secretary
- 6.2 The DMO (or Assistant Document Management Officers who have authority as delegated by the DMO)
- 6.3 Deleted documents may be retrieved by contacting the DMO.
- 7 Documents should be retained or securely destroyed according to timeframes dictated by the specific laws, policies or Committee decisions that apply to the documents or classes of documents.
- 7.1 The default retention period is seven years.
- 8 This policy does not prohibit volunteers printing hard copies of documents to assist in operational activities.

SOURCES

- ACT Associations Incorporation Act 1991 - <https://www.legislation.act.gov.au/a/1991-46/>
- Australian Charities and Not-for-profits Commission Act 2012 - <https://www.legislation.gov.au/Details/C2012A00168>
- Australian Charities and Not-for-profits Commission (ACNC) record-keeping requirements - <https://www.acnc.gov.au/for-charities/manage-your-charity/obligations-acnc/keep-charity-records>
- U3A-ACT Inc. Objects and Rules - <https://www.u3acanberra.org.au/get/191205.pdf>