Canberra Institute of Technology

Records Management Program

2017

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Table of Contents

SECTION 1 RECORDS MANAGEMENT PROGRAM: INTRODUCTION 3

COMPLIANCE WITH THE TERRITORY RECORDS ACT 2002 3
SENIOR MANAGEMENT COMPLIANCE RESPONSIBILITIES 4
COMPLIANCE REPORTING 4
RELATIONSHIP WITH THE DIRECTOR OF TERRITORY RECORDS 4
AVAILABLE FOR INSPECTION BY THE PUBLIC 5
IMPLEMENTATION, MEASURED AND REVIEW OF RECORD MANAGEMENT PROGRAM 5

SECTION 2 RECORDKEEPING POLICY 7

PURPOSE 7
AIMS 7
SCOPE 7
POLICY STATEMENT 8
RECORDKEEPING PRINCIPLES 8
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Senior Management Compliance Responsibilities

The Chief Executive Officer in conjunction with the Canberra Institute of Technology Records Manager are responsible for the

- Allowing the Director of Territory Records to report to the Canberra Institute of Technology on compliance with the Act and the Canberra Institute of Technology Records Management Program.

Section 2- Recordkeeping Policy

Purpose

This policy forms part of Canberra Institute of Technology's strategic recordkeeping framework for the creation, capture and management of records. The Canberra Institute of Technology is committed to maintaining good recordkeeping practices that meet its business needs, accountability requirements and government and community expectations.

Good recordkeeping supports an open and accountable evidenced based culture that reflects good corporate governance. This recordkeeping policy is a component of sound corporate governance and is complementary to other strategic business policies. This policy, along with supporting recordkeeping procedures, effective business tools and systems and education and awareness strategies are essential elements of the Canberra Institute of Technology Records Management Program.

Aims

This policy aims to promote a consistent and coherent regime of recordkeeping processes and practices. In doing so, the Canberra Institute of Technology will provide and promote best practice guidance to Canberra Institute of Technology staff and assist them in understanding their recordkeeping responsibilities. The Canberra Institute of Technology recognises its responsibility as an ACT Government agency to manage records in accordance with the Territory Records Act 2002. This Policy and the Canberra Institute of Technology procedures have been developed in conformity with both the Act and the Territory Records Office Standards for Records Management. In cases where recordkeeping issues arise which are not covered by the Policy or Procedures the Canberra Institute for Technology will follow advice from the Territory Records Office and be guided by the Australian Standard on Records Management AS ISO 15489.

Scope

This policy applies to all staff of the Canberra Institute of Technology, consultants and contractors as well as persons working for outsourced providers undertaking Canberra Institute of Technology business. This policy applies to all aspects of organisational business, all records created during business transactions, and all business applications used to create records including emails, database applications and websites.

All records made and received are the corporate property of the Canberra Institute of Technology. Cstutam1

Policy Statement

The Canberra Institute of Technology supports a holistic approach to the management of records, consistent with recent ACT Government initiatives to strengthen and support the Government of the day with strategic and direction-setting advice. The way information is collected, stored, interpreted and released is fundamental to citizen centred governance, public value, robust high quality policy and program development and operational services.

Records are the Canberra Institute of Technology's corporate memory and as such are a vital asset for ongoing operations, providing valuable evidence of business activities and transactions. Records are kept because they represent an important asset and valuable information resource for the organisation. The Canberra Institute of Technology seeks to integrate its recordkeeping policies and procedures within the organisation's business and information management strategies.

When there are other policies which cover issues in relation to records management, this policy is not to be seen as subordinate to them. In the case of any apparent contradiction between policies the issue is to be referred to the Executive in charge of Records Management for resolution. The Executive in charge of Records Management is responsible for seeing that related policies are progressively examined to ensure they reflect the requirements of this policy without detracting from their own purposes.

Recordkeeping Principles

The core element required for accountability and business continuity purposes resides in the records. It is important therefore, that Canberra Institute of Technology records be managed according to the following Recordkeeping Principles:

- The Canberra Institute of Technology is committed to creating, using and keeping full and accurate records of its policy, governance, administrative and client management activities;
- The Canberra Institute of Technology will comply with relevant legislation that covers recordkeeping;
- The Canberra Institute of Technology will implement best practice recordkeeping consistent with Territory Records Office Standards, Guidelines and Advice and Australian and International Recordkeeping Standards;
- The Canberra Institute of Technology acknowledges and advocates that recordkeeping is the

- The Canberra Institute of Technology Records Management Program will include strategies to address staff education and awareness needs in recordkeeping; and
- The Canberra Institute of Technology practices and systems for recordkeeping will cover all essential recordkeeping functionality including but not limited to:
    - Capture of records;
    - Store records over time;
    - Protect the integrity and authenticity of records;
    - Ensure appropriate security;
    - Enable access and use of records; and
    - Disposal of records in accordance with records disposal schedules.

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Legislation

The Canberra Institute of Technology like most government agencies must comply with a range of laws associated with the creation and capture of evidence in the form of records and information. ACT legislation relevant to the role and responsibilities of the Canberra Institute of Technology include but not limited to:

- Archives Act 1983;
- Copyright Act 1968
- Crimes Act 1914
- Discrimination Act 1991;
- Electronic Transactions Act 2001;
- Evidence Act 2011;
-

- Facilitating public access to records in cooperation with the Canberra Institute of technology's FOI officers and the ACT Government Reference Archivist; and
- Implement reviews and updates of the Records Management Program on a rolling basis such that the entire Program is reviewed and updated at least every five years.

- Posters and pamphlets intended to bolster recordkeeping awareness;
- Recordkeeping articles and advice published on the Canberra Institute of Technology intranet;
- HPRM8 application training; and advice on the use of business tools i.e. Functional Thesauri and Record Disposal Schedules; and

Recordkeeping Systems

Recordkeeping systems encompass policies, procedures, practices, tools and resources which are applied within the Canberra Institute of Technology to ensure that full and accurate records of business activity are made and kept.

The Canberra Institute of Technology holds records in a range of formats (e.g. paper and objects). It operates with recordkeeping systems for paper-based documents.

The paper-based system comprises:

- The Canberra Institute of Technology Records Management Staff.
- The Canberra Institute of Technology RecFind 6 database for the management of all the client and non-client records;
- Action officers who understand the processes and procedures for requesting files to be created, accessed and retained by the Records Management staff for the Canberra Institute of Technology;
- The Canberra Institute of Technology Recordkeeping Policy that provides the basis of good recordkeeping and enforces proper use of files to record business activity;
- Procedures and guidelines that describe the capture, maintenance and provision of access to files;
- The Whole of Government Thesaurus of Terms that assists in retrieval, classifying records, titling and indexing of records;
- Equipment and stationery (standard file covers, file clips, compactus, computers etc)
- The Whole of Government Records Disposal Schedule that ensures legal disposal of paper files and records; and
- Records Management software that controls the capture, use, access, storage and disposal of the Canberra Institute of Technology files.

The Canberra Institute of Technology currently uses HPRM as its primary recordkeeping system. The system provides for the efficient and effective control of paper-based and electronic files and metadata.

In addition to the HPRM system, there are a number of specialised Canberra Institute of Technology business systems including the Canberra Institute of Technology Business Operating Environment eLC Drives and email folders that store corporate information. These business systems however, operate outside of the HPRM corporate recordkeeping system.

These systems while having some recordkeeping functionality do not comply with the Australian Government Recordkeeping Metadata Standards to safe guard the integrity, protection and preservation of business information over time. A comprehensive list of business systems can be found at xAppendi

The Canberra Institute of Technology is transitioning to an electronic recordkeeping system to store records of enduring value.

Storage Arrangements

The appropriate storage arrangements are critical for the long-term preservation, security and integrity of records.

judgement is based on the likely consequences and it is to be expected that the level and standard of documentation needs to match the circumstances.

Each element of the Canberra Institute of Technology will need to determine, within the confines of this recordkeeping policy and Records Management Program, the level of management required for their documents. To assist the Canberra Institute of Technology employees, Records Management staff can provide guidance in recordkeeping fundamentals.

Public Access and Use

When an application for access to records that are over 20 years of age advice is sought from the Director of Territo Records before access is given. Generally speaking this should not be a problem because it only applies to about 10% of CIT holdings.

FOI request are processed in accordance with the FOI Act of 1982 and the ACT Government Online FOI Publishing policy. CIT complies with the Copyright Act.

CIT has been granted an exemption under Section 28 of the Territory Records Act for records relating to staff and students that have a high retention periods applied to them.

Normal Administrative Practice .04 -0 0 11.04 S(py)8 Fe8-0.012 Tw 11.04 -0 0 1omBDC /TT1 1 Tf -0.05 Tc -0.001

- Ephemeral information (e.g. brochures from outside organisations, that have no continuing value and

Section 3 - Recordkeeping Procedures

Purpose

The Canberra Institute of Technology recordkeeping procedures form part of the organisation's strategic recordkeeping framework for the creation, capture and management of records. They are designed to complement the recordkeeping policy. The recordkeeping procedures, which are described in detail on the Canberra Institute of Technology intranet identify the major processes of good recordkeeping and provide the Canberra Institute of Technology staff, consultants and contractors with specific directions for managing Territory records. Appendix E lists the Canberra Institute of Technology recordkeeping procedures.

Aims

The procedures aim (in conjunction with the recordkeeping policy) to promote a consistent and coherent regime of recordkeeping processes and practices. In doing so, the Canberra Institute of Technology will provide and promote best practice guidance to the Canberra Institute of Technology staff and assist them in understanding their recordkeeping responsibilities. The Canberra Institute of Technology recognises its responsibility as an ACT Government Agency to manage records in accordance with the Territory Records Act 2002.

Scope

The procedures are designed to provide direction as to the why, what, who, and how of the Canberra Institute of Technology recordkeeping practices. The procedures have been developed in conformity with Territory Reco6 0J 0.005 Tcocef

Section 4 – Implementation, Measurement and Review

Implementation

The Canberra Institute of Technology Records Management Program will be implemented by the following means:

- The Canberra Institute of Technology Records Management Program provides suitable performance indicators and directions and targets, as appropriate, to enable inclusion as a result area in corporate plans and where appropriate Annual Reports on matters relating to the Canberra Institute of Technology records management;
- All of the Canberra Institute of Technology records are stored in an appropriate and secure environment;
- The roles, authorities and responsibilities of all Canberra Institute of Technology staff in relation

- Undertaking of annual file census to ensure accountability
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SECTION 5 DEFINITIONS, REFERENCES AND APPENDICES

Definitions

Activities

The activity reflects the tasks performed within the function. Activities are the second level of the business classification scheme.

Appraisal

The process of evaluating business activities to determine which records need to be captured, how long the records need to be kept to meet business needs, and meet the requirements of organizational accountability and community expectations.

Broader terms

Broader terms refer to a term that is a higher level in the hierarchy.

Business Classification Scheme

A hierarchical scheme for identifying and defining the functions, activities and transactions an agency performs in the conduct of its business, and the relationships between them.

Classification

The process of devising and applying schemes based on the business activities which generate records, whereby they are categorised in systematic and consistent ways to facilitate their capture, retrieval, maintenance and disposal. Classification includes determining document or file naming conventions, user permissions and security restrictions on records.

Controlled vocabulary

The terms in the thesaurus are controlled to ensure consistency in titling. This means the meanings and the way in which they should be used together (their relationships) are prescribed. Controlled vocabulary way(las)2

Terms that should not be used. A USE reference will direct the user to a preferred term.

Normal Administrative Practice

The NAP provision of the Territory Records Act 2002 allows for the destruction of ephemeral material. The following are examples of documents that can be destroyed under NAP:

- Working papers i.e. rough notes, calculations, statistical and research data used in the preparatio of correspondence;
- Draft versions of documents that show no significant changes or annotations relating to the formulation of policy or procedures and legislation (i.e. draft charts, minutes);
- Duplicate documents (i.e. information copies of records already held on file or internal and external publications held for information);
- Facilitating instructions (i.e. general instructions on formatting rather than content);
- Personal notes and messages; and
- Ephemeral information (e.g. brochures from outside organisations, that have no continuing value and are generally needed for a few hours or days)

Preferred terms

Terms which are authorised and which should be used in preference to non-preferred terms. Functions, activities and subject descriptors are all preferred terms.

Record

A piece of information, in written, electronic or any other form, under the control of the agency or to which it is entitled to control, kept as a record of its business activities, whether it was created or received by the agency. Records, therefore, may be in any form: paper, microfilm, electronic documents, maps, plans, drawings, photographs, data from business systems, spreadsheets, e-mail, digital images, audio or video, or handwritten material.

Recordkeeping

Making and maintaining complete, accurate and reliable evidence of business transactions in the form of recorded information. This includes information in regard to legal obligations.

Recordkeeping System

Information system that captures, maintains and provides access to records over time. Record keeping systems encompass policies, procedures, practices and resources which are applied within an agency to ensure that full and accurate records of business activity are made and kept.

Records Management

The managing of the records of an agency to meet its operational needs and, if appropriate, to allow publi access to the records consistent with the Freedom of Information Act 1989 and for the benefit of future generations. Records management covers, but is not limited to, the creation, keeping, protection, preservation, storage and disposal of, and access to, records of an agency.

Related terms

Indicate a relationship between terms. Related terms can be used additionally to subject descriptors already selected to further refine the classification. They may also be considered as alternatives to the term originally selected.

Registration

Where a file is registered by Records Management following a request for the creation of a new file using a file request form. Recor to. (o)2 29.5 /TTy .ind [(e)theMJ 29.5hr ceme(e)-1 (gi)-8 /TTy .ind [(3r5B ( )10 (n

obtained if it is proposed to object to a subpoena on the grounds that either legal professional privilege or public interest immunity applies.

Canberra Institute of Technology

INFORMATION REGARDING APPEALS TO THE ACT CIVIL AND ADMINISTRATIVE TRIBUNAL AND COMPLAINTS TO THE OMBUDSMAN

ACCESS TO TERRITORY RECORDS

Reasons

You can request a statement of reasons explaining why a dec

to grant assistance are made on the grounds of hardship and that it is reasonable, in all the circumstances for the assistance to be granted.

Write to:

The Director-General
Justice and Community Safety
GPO Box 158
CANBERRA ACT 2601.

The following organisations can also provide advice and assistance if you are eligible:

- Aboriginal Legal Service (Phone 6249 8488);
- Aged Care Association Australia (Phone 6258 2615);
- Human Rights Commission (Phone 6205 2222);
- Legal Advice Bureau (phone 6247 5700); and
- Welfare Rights and Legal Centre (phone 6218 7900

What the Civil and Administrative Tribunal will do

Conferences: The Tribunal can arrange one or more conferences between you (or your representative) and the Canberra Institute of Technology. The purpose of a conference is to obtain a better understanding of the issues and for the parties to try to reach a settlement. If a settlement cannot be reached or the applicant does not withdraw the application for a review, a hearing will be arranged.

Mediation: Your case can, if both parties agree, be referred to mediation. Mediation is an informal

Ph: 6276 0111

Appendix C – Functions relating to the Canberra Institute of Technology Business

Functions	Notifiable Instrument	Number
FINANCE & TREASURY MANAGEMENT	Finance & Treasury Management Records	NI2017-83
GOVERNMENT & STAKEHOLDE RELATIONS	Government & Stakeholder Relations Records	NI2017-84
HUMAN RESOURCE RECORDS	Human Resource Records	NI2017-79
INFORMATION & COMMUNICATIONS RELATIONS	Information & Communications Technology Records	NI2017-85
PATIENT SERVICE ADMINISTRATION	PatientService Administraion Records	NI2013-590
PROPERTY EQUIPMENT & FLEI	Property Equipment & Fleet Records	NI2017-86
RECORDS & INFORMATION MANAGEMENT	Records & Information Management Records	NI2017-87
SOLICITOR & LEGAL SERVICES	Solicitor & Legal Services Records	NI2017-88
STRATEGY & GOVERNANCE	Strategic & Governance Records	NI2017-89
STUDENT MANAGEMENT	Student Management Records	NI2016-568
TERTIARY TEACHING AND RESEARCH RECORDS	Teaching & Learning, Educational Agreements and Research Management	NI2007-314

Appendix D– CIT Business Systems

Each identified business system that captures records of the organisation is listed as follows

Business System Name:	BANNER
Comments/description:	Student Administration System
Vendor:	
Version number/iteration	
Date commenced:	1998
Date closed:	

Element	Details

Business System Name:	

Business System Name:	AVETMISS Statistical Database
Comments/description:	
Vendor:	
Versionnumber/iteration	
Date commenced:	
Date closed:	

Element	Details

Business System Name:	CHRIS21
Comments/description:	Human Resource System
Vendor:	
Version number/iteration	
Date commenced:	
Date closed:	

Business System Name:	CRM
Comments/description:	

Business System Name:	Oracle Government Financials
Comments/description:	Finance System
Vendor:	
Version number/iteration	
Date commenced:	
Date closed:	

Element	Details

Business System Name:	OH&S Risk Register
Comments/description:	
Vendor:	
Version number/iteration	
Date commenced:	
Date closed:	

Element	Details

Business System Name:	CIT Website
Comments/description:	
Vendor:	
Version number/iteration	
Date commenced:	
Date closed:	
Element	Details

Appendix E – Recordkeeping Procedures

The following is a list of the Canberra Institute of Technology Recordkeeping Procedures.

Procedure 1: Accessing Records

Procedure 2: Changing Records

Procedure 3: Physical files

Procedure 4: Creating Records

Procedure 5: When should Records be made

Procedure 6: Capturing Records

Procedure 7: Access to Records

Procedure 8 Finding Records

Procedure 9 Storage and Security to Records

Procedure 10: When should Records be captured

Procedure 11: Location of Records

Procedure 12 Preservation

Procedure 13 Disaster prevention and recovery

Procedure 14: Movement of Records

Procedure 15: Appraisal of Records

Procedure 16: Disposal Schedules

Procedure 17: Arrangements for preserving records containing information that may allow people to establish links with their Aboriginal or Torres Strait Islander Heritage

Procedure 18: Disposal

Procedure 19: Elements of Records Schedules

Procedure 20: Implementing the Records Disposal Schedule

Procedure 21: Pre self-government records

Procedure 22: Authorised destruction of Records

Procedure 23: Territory Administrative Records

Procedure 24: Section 28 TRA

Procedure 25: Access register

Procedure 26: Access conditions

Procedure 27: Secure destruction

Procedure 28: Public Access

Procedure 29: Assistance to the public

Procedure 30: Exemptions

Procedure 31: Copyright

Procedure 32: Cabinet records