

# Records Management Policy

## 1. Purpose and Scope

- 1.1 The Records Management Policy sets out the framework for records and information management on the creation, maintenance and disposal of AIAT records and outlines the principles for appropriate management of the AIAT's information throughout the information lifecycle.
- 1.2 This policy applies to all AIAT business including governance, operational and academic activities. It concerns records which are created, collected, processed, used, archived, stored and disposed of in the conduct of AIAT business.
- 1.3 The policy applies to all AIAT employees, independent consultants and contractors and other authorised personnel offered access to AIAT resources.
- 1.4 This policy applies to all AIAT records management systems.

## 2. Definitions

Refer to *Glossary of Terms*.

## 3. Policy Statement

- 3.1 The establishment of an effective and efficient records management environment ensures standardisation, protection, reliability and retrieval of information, thus improving the quality of customer service and compliance with legislative requirements.
- 3.2 AIAT is committed to accountable business practices, including record keeping and compliance with legislated record keeping requirements.
- 3.3 AIAT recognises that corporate records play a critical role in:
  - 3.3.1 supporting good business practices that align to the strategic direction;
  - 3.3.2 supporting service delivery, business continuity and good corporate governance;
  - 3.3.3 providing for evidence based and informed decision making;
  - 3.3.4 promoting accountability and transparency;
  - 3.3.5 supporting compliance with various legislative and regulatory provisions;
  - 3.3.6 capturing the corporate memory of the organisation; and
  - 3.3.7 providing evidence of what AIAT, its employees, students and stakeholders have (or haven't) done, decisions made and any undertakings given.
- 3.4 Records created, received or used by AIAT staff in the normal course of business are the property of AIAT, unless otherwise agreed. This includes reports compiled by external consultants commissioned by AIAT.

## 4. Policy Principles

- 4.1 All staff are obliged to create, capture, manage and retain full and accurate records of AIAT's business activities and decisions. All information is to be captured, managed and used in the most appropriate format.
- 4.2 Records must be full and accurate, captured in a timely manner and be readily locatable.
- 4.3 Record keeping requirements and practices will be embedded into AIAT business activities, data governance, cybersecurity and information systems and processes.
- 4.4 AIAT records management systems
  - 4.4.1 make and manage accurate records; and
  - 4.4.2 have appropriate security mechanisms including access and user permissions to protect records and information.
- 4.5 AIAT conducts its business as "digital by default", wherever possible, with records created in digital format.
- 4.6 Records must be retained for as long as they are required and disposed of in a lawful, planned and approved manner.
- 4.7 All practices and procedures concerning records management within AIAT are to be in accordance with this policy.

## 5. Roles and responsibilities

- 5.1 The CEO is responsible for
  - 5.1.1 policy enforcement and compliance;
  - 5.1.2 general oversight of records, information and privacy management at AIAT;
  - 5.1.3 oversight of the AIAT records management system; and
  - 5.1.4 approving destruction of records.
- 5.2 The Director, Quality Assurance and Risk Management is responsible for
  - 5.2.1 the implementation and ongoing review of compliant records management system; and
  - 5.2.2 coordinating the destruction of records.
- 5.3 All staff are responsible for creating, capturing, using, and retaining AIAT information in accordance with this policy and procedure.
- 5.4 All managers and process owners are responsible for
  - 5.4.1 identifying what records need to be created or captured within their area of responsibility; and
  - 5.4.2 documenting and implementing processes that ensure the correct management of AIAT records within their area.
- 5.5 All managers are responsible for the implementation of, and adherence to, this policy within their area of responsibility.

## 6. Policy Details

Institution	Australian Institute of Advanced Technologies (AIAT)
Policy name	Records Management Policy
Policy Reference No.	POL – 46
Policy Approval	Board of Directors
Policy Authority	Executive Management Group
Responsible Officer	CEO
Governance Reference Threshold Standards	HESF 6.1.3.e, 7.3.3.c
Related Documents	Acceptable use of ICT Policy Course and Subject Lifecycle: Proposal and Development Policy Course and Subject Lifecycle: Review, Monitoring and Change Policy Information and Communications Technology Policy Intellectual Property Policy Privacy Policy Quality Assurance and Enhancement Policy Records Management Procedure Risk Management Policy Staff Code of Conduct Student Communication Policy
Related Legislation	AS ISO 15489 Australian Standard Records Management National
References	AIAT has referred and benchmarked with the following institutions and policies during the creation of this procedure: Adelaide University (2020) Information Management Policy Central Queensland University (2020) Records Management Policy and Procedure Griffith University (2018) Records Management Policy James Cook University (2016) Records Management Policy University of Technology, Sydney (2021) Records Management Policy University of New England (2015) Records Management Rule Western Sydney University (2017) Records and Archives Management Policy
Date of approval	2 December 2021
Review date	December 2026
Policy Category	Operational

## 6. Document Version Control

Document No	POL - 46	Last Modify Date	Summary of Changes
Version No	1.0	NA	Initial version approved by Board of Directors
	1.01	31/3/2022	Fixed typos; update policy number
Created Date	Dec 2021		