

## RECORDS MANAGEMENT POLICY

<b>Approving Authority</b>	Council	<b>Approval Date of Last Revision</b>	6 May 2019
<b>Approval Date</b>	23 Feb 2018	<b>Effective Date of Last Revision</b>	6 May 2019
<b>Effective Date</b>	23 Feb 2018	<b>Review Date*</b>	23 Feb 2021
<b>Document No</b>	PLO8	<b>Version</b>	1.0a
<b>Policy Category</b>	Operational		
<b>Governing Authority</b>			
<b>Responsible Officer</b>	General Manager		
<b>Related Documents</b>	ICT Policy (and related Procedure) Risk Management Policy (and related Procedure) Document Version Control Document Control Register Privacy Policy (and related Procedure) Business Continuity Plan Higher Education Standards Framework (2015) Education Services for Overseas Students (ESOS) Act 2007		

\* Unless otherwise indicated, this Policy will still apply beyond the review date.

### Document Control

Version #	Date	Key changes
1.0	23/02/2018	Approved by Council
1.0a	6/05/2019	Format updated

## 1 PURPOSE

1.1 The Records Management Policy sets out the direction, scope and approach to the records management environment at Adelaide Institute of Higher Education (AIHE) and outlines staff responsibilities to create, maintain and lawfully dispose of corporate AIHE records.

## 2. SCOPE

2.1 This policy applies equally to all AIHE staff, contractors and consultants, all aspects of the Institute's operations, all records created or received in any format to support AIHE business activities and all business applications used to create, manage and access records.

## 3. POLICY STATEMENT

3.1 AIHE commits to meet its legal obligations by administering its data, information and records in a lawful, ethical and cost-effective manner. To achieve this objective a full and accurate record of activities of AIHE will be created, captured and maintained in systems with appropriate recordkeeping functionality and controls. AIHE will:

- adhere to all legal and legislative requirements relevant to records management;
- satisfy the South Australian Government's mandatory information standards and policies relevant to records management; and
- implement and review records management systems, policy, procedures and business practices to provide a AIHE strategic and operational recordkeeping framework.

## 4. POLICY PRINCIPLES

4.1 All corporate records, created and received by AIHE, or by individuals acting on its behalf (contractors and consultants), are the property of AIHE and subject to its control.

4.2 AIHE is committed to maintaining compliance in recordkeeping. Record keeping:

- will be compliant and accountable in all areas of business;
- will be monitored and audited for compliance;
- activity will be assigned to specific officers and implemented;
- will be managed;
- systems will be reliable and secure; and
- will be systematic and comprehensive.

4.3 Full and accurate records will be made and kept for as long as they are required for business, legislative, accountability and cultural purposes as specified in the schedules for the retention of student records and organisational corporate records in the Records Management Procedure.

4.4 AIHE will foster and support a culture within that promotes good recordkeeping practices. Managers and supervisors will monitor staff under their supervision to ensure that they understand and comply with records management policies and procedures.

4.5 All members of staff are required to create, capture and appropriately manage records relating to their work, regardless of the format of the records and including records of decisions made and actions taken.

4.6 Records will be maintained (stored and preserved) in conditions suitable to the length of time they need to be kept and made available for use. This applies regardless of the format of the records or the media they are stored on.

4.7 Records and archives will be made available within the constraints of security, confidentiality, privacy and archival access conditions.

4.8 Records must only be destroyed in accordance with disposal policies, procedures and guidelines issued or approved by the General Manager. Records must not be destroyed if they are required or are reasonably likely to be required in current or future litigation.

4.9 All systems for recordkeeping (technology and work practices) must enable essential recordkeeping functions, including:

- creation and capture in the context of the activity recorded;
- protection of integrity and authenticity;
- appropriate access and use;
- security from unauthorised access and use;
- storage over time; and
- lawful and complete destruction or retention as an archival record.

4.10 This policy will be reviewed and evaluated in line with changes to business processes and compliance requirements.

## **5. ROLES AND RESPONSIBILITIES**

5.1 Council is responsible for approving the policy that sets out the rules for managing all AIHE records in accordance with the relevant legislation and standards.

5.2 The General Manager is responsible for implementing the Records Management Policy and monitoring and reporting on its implementation to Council.

5.3 Management-level staff are responsible for implementing and maintaining sound record keeping practices within their respective administrative units. Managers must ensure that records are created, maintained and stored in accordance with the standards outlined in this policy, and that no records are destroyed except as authorised.

5.4 Record keeping is not the province of archivists, records managers or systems administrators alone, but is an essential role of all employees.

5.4.1 Every member of staff is responsible for making and keeping such records as may be necessary to fully and accurately record the functions, activities, transactions, operations, policies, decisions, procedures, affairs, administration and management of AIHE.

5.4.2 Staff members are to follow authorised procedures in carrying out records management functions, and must observe security, privacy and confidentiality requirements at all times, in accordance with the AIHE Privacy Policy.

5.4.3 Staff members are to handle records sensibly and with care and respect so as to avoid damage to the records and prolong their life-span. Smoking, eating and drinking should not occur near or in records storage areas.

## **6. DEFINITIONS**

6.1 See the AIHE Glossary of Terms for definitions.