

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
FULL AND ACCURATE RECORDS	9
KEY PERFORMANCE INDICATORS	9
LEGISLATION	10
RECORDKEEPING RESPONSIBILITIES	11
TRAINING AND AWARENESS	12
RECORDKEEPING SYSTEMS	13
STORAGE ARRANGEMENTS	14
OWNERSHIP	14
RISK MANAGEMENT	14
PUBLIC ACCESS AND USE	15
SECTION 3 - RECORDKEEPING PROCEDURES.....	17
PURPOSE	17
AIMS	17
SCOPE	17
OBLIGATIONS	17
IMPLEMENTATION	17
SECTION 4 – IMPLEMENTATION, MEASUREMENT AND REVIEW	18
IMPLEMENTATION	18
PERFORMANCE MEASUREMENT	18
REVIEW OF RECORDS MANAGEMENT PROGRAM	19
SECTION 5 - DEFINITIONS, REFERENCES AND APPENDICES.....	20
DEFINITIONS	20
REFERENCES	24
APPENDIX A - PRODUCTION OF RECORDS FOR COURTS AND TRIBUNALS	25
APPENDIX B – ACT CIVIL AND ADMINISTRATIVE TRIBUNAL & COMPLAINTS TO THE OMBUDSMAN	27
APPENDIX C –FUNCTIONS RELATING TO THE CANBERRA INSTITUTE OF TECHNOLOGY BUSINESS	32

Section 1 - Records Management Program: Introduction

In accordance with Section 16 of *Territory Records Act 2002 (the Act)* the Canberra Institute of Technology is to have, and to comply with, a Records Management Program. This introductory section of the Records Management Program identifies essential elements of the Program. The Records Management Program must be:

- Distinct and identifiable;
- Supported by policy and procedures; and
- Implemented; measured and reviewed.

These principles are supported by the *Act*. Section 14 of the *Act* requires the Canberra Institute of Technology to make and keep full and accurate records of our business activities. The Territory Records Office endorses the Council of Australian Archives and Records Authorities (CAARA) Principles on Full and Accurate records. The Australian Standard on Records Management, AS ISO 15489 has been adopted as the model for best practice recordkeeping. The Canberra Institute of Technology Records Management Program supports these principles by putting in place systems and processes that:

- Support reliable recordkeeping;
- Ensure recordkeeping is systematic;
- Ensure recordkeeping is managed;
- Allow recordkeeping to be audited; and
- Make recordkeeping a routine part of transacting business.

The Canberra Institute of Technology Records Management Program will ensure records are maintained for as long as they are required to effectively and efficiently support the business functions and activities of the organisation.

Compliance with the Territory Records Act 2002

The Canberra Institute of Technology Records Management Program addresses all elements set out in section 16 of the *Act* and meets all the requirements set out in Standards and Codes released by the Director of Territory Records under the *Act*.

Senior Management Compliance Responsibilities

The Chief Executive Officer in conjunction with the Canberra Institute of Technology Records Manager are responsible for the Canberra Institute of Technology Records Management Program. Together, these positions have delegated responsibilities for ensuring staff, consultants, contractors and those organisations performing services on the Canberra Institute of Technology's behalf comply with the recordkeeping policy and associated procedures.

Adherence to the policy and procedures is mandatory for all staff, consultants, contractors, and those organisations performing services on the Canberra Institute of Technology's behalf.

Compliance Reporting

The Canberra Institute of Technology will report to the Territory Records Office on its records management activities. The nominated Records Manager will be responsible for this reporting to ensure that:

- The Canberra Institute of Technology reports to the Director of Territory Records and the Territory Records Advisory Council as required; and
- Reports to the Records Advisory Council may be on such matter as the disposal of records and the preservation of any records that the Canberra Institute of Technology may hold about Aboriginal and Torres Strait Islander heritage.

The Canberra Institute of Technology Records Management Unit is part of the Corporate Services which provides internal support services to the Institute. Records Management is included in Corporate Services Centre's Business and Risk Management Plans; which includes controls, work priorities, targets, staff responsibilities and identifies analyses and prioritises risks.

The Canberra Institute of Technology has an Audit and Review team that work on behalf of the Chief Executive to provide independent advice and assurance about how CIT meets its objectives; Records Management is included in the scope. A set of Records Management performance indicators for Records Management staff and other key stakeholders to follow has been included in this Program document.

Relationship with the Director of Territory Records

The Canberra Institute of Technology has in place arrangements for:

- Allowing the Director of Territory Records to examine the operation of the Records Management Program and the Canberra Institute of Technology compliance with the Act and the Program;
- Advising the Director of Territory Records about outsourcing of any aspect of the Canberra Institute of Technology records management responsibilities;
- Consulting with the Director of Territory Records for assistance, advice, and training of Canberra Institute of Technology staff in relation to records management; and

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

Available for inspection by the public

Section 21 of the Act requires that the Canberra Institute of Technology Records Management Program be available for inspection by the public. Upon approval by the Principal Officer, this entire Program (subject to the qualification below) will be available free of charge:

- During ordinary working hours at the office of the Principal Officer; and
- On the Internet and findable using common search terms by commonly available search engines.

In addition copies of the Records Management Program may be made available for public inspection at other places on other media.

Where elements of the Canberra Institute of Technology Records Management Program refer to the existence of documents affecting relations with the Commonwealth and the States, or affecting the enforcement of the law and the protection of public safety which should not be made available to the public, the Canberra Institute of Technology will release a modified version of the Program, which protects this information. This coincides with the practice of the *Freedom of Information Act 1989*.

Implementation, Measured and Review of Record Management Program

The Canberra Institute of Technology has implementation strategies in place together with performance measures for records management activities to ensure the effective and efficient management of the Canberra Institute of Technology business information.

The Canberra Institute of Technology records management systems are regularly monitored to ensure that the creation, identification and retrieval of records is consistent across all users and allows staff compliance with the Canberra Institute of Technology Records Management program, and the Act. Reports are provided to Territory Records Office of all record disposal activities in accordance with provisions of the *Act*.

A review of the Canberra Institute of Technology Records Management Program by the Records Manager in conjunction with monitoring and review of recordkeeping policy and procedures will be undertaken not less than five (5) years or as required, as set out in Notifiable Instruments NI2012 353 (Standards for Records Management Number 1: Records Management Programs).

Section four (4) of this document contains detailed implementation arrangements together with mechanisms and strategies for measuring and reviewing the Canberra Institute of Technology Records Management Program.

Authorisation

In accordance with Section 8 of the *Territory Records Act 2002*, I Adrian Marron, being the Principal Officer Canberra Institute of Technology, hereby certify that this Records Management Program addresses all elements as set out in Section 16 of the Act and meets all the requirements set out in Standards and Codes released by the Director of Territory Records under the Act.

In accordance with my responsibilities I:

- Approve the Canberra Institute of Technology Records Management Program and in doing so provide a copy to the Director of Territory Records in accordance with Section 17 (3) of the Act;
- Seek certification from the Director Territory Records for any aspects of the Records Management Program where non-compliance is necessary for Canberra Institute of Technology operations; and
- Make Canberra Institute of Technology Records Management Program available for public inspection and identifying exempt material such as documents affecting relations with the Commonwealth, the States and Territories, or affecting the enforcement of the law and the protection of public safety, or affecting privacy.

Leanne Cover

Chief Executive Officer

Section 2 - Recordkeeping Policy

Purpose

This policy forms part of Canberra Institute of Technology 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. All records that staff make, receive and maintain as part of their duties belong to the agency and no records belong to individual employees. The Canberra Institute of Technology retains control of all records required for service delivery in accordance with *Standard No. 5 – Recordkeeping and Outsourced Government Business*, and ownership of records and/or the intellectual property they contain is clearly specified in every outsourcing contract.

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.¹

Records are the Canberra Institute of Technology 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 responsibility of all staff;

- 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.

Full and Accurate Records

By definition, the *Territory Records Act 2002* states that a “Territory Record” is a record made and kept or received and kept, by a person in the course of exercising a function under a territory law. Records in this context means “information created, received and maintained as evidence and information by the Canberra Institute of Technology in pursuance of legal obligations or in the transaction of its business”².

The making and keeping of full and accurate records of the Canberra Institute of Technology’s activities is essential to attain its stated outcomes. It is essential therefore for all staff to make and keep full and accurate records of their activities, to ensure that such records are incorporated in the Canberra Institute of Technology’s recordkeeping system and to comply with all records management procedures.

Key Performance Indicators

Recordkeeping is undertaken within the legislative and the Canberra Institute of Technology policy framework and must be examined periodically to ensure that recordkeeping processes are compliant and to identify areas for improvement. It is imperative therefore that recordkeeping be included as a result area in all strategic policies, plans and strategies.

² Standards Australia. Australian Standard AS ISO 15489.1 – 2002 Records Management part1: general p3.

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;*
- *Financial Management Act 1996;*
- *Freedom of Information Act 1989;*
- *Human Rights Act 2004;*
- *Legislation Act 2001*
- *Privacy Act 1988 (Cwlth);*
- *Public Sector Management Act 1994;and*
- *Territory Records Act 2002;*

Recordkeeping Responsibilities

All staff of The Canberra Institute of Technology has recordkeeping responsibilities in relation to the records of the function they perform. In particular, they are required to make accurate records of their activities, to ensure records are incorporated in recordkeeping systems and to comply with all record management procedures.

The Chief Executive Shall:

- Provide support and resources for ensuring a successful Records Management Program
- Ensure that all parts of the Records Management Program are kept updated to reflect all recordkeeping requirements that the Canberra Institute of Technology must meet
- Ensure that recordkeeping systems underpin and support business processes
- Appoint a Records Manager to manage day-to-day records management of the Canberra Institute of Technology; and
- Promote compliance with the Canberra Institute of Technology recordkeeping policies and procedures.

Managers and Supervisors Shall:

- Monitor staff under their supervision, including consultants and contractors, to ensure that they understand and comply with Canberra Institute of Technology recordkeeping policies and procedures for the creation and maintenance of records;
- Facilitate their staff in having access to tools, procedures and expertise to assist them to carry out their recordkeeping responsibilities;
- Ensure staff comply with all exit protocols in relation to records management, including ensuring all records are captured into the appropriate recordkeeping systems; and
- Support and foster a culture that promotes good recordkeeping practices.

Records Manager shall:

- Incorporating recordkeeping principles into business processes;
- Arranging appropriate resource allocation to enable the Records Management Program to be established and maintained in accord with the Principal Officer's commitment;
- Implementing performance measures and evaluation measures to meet corporate objectives and relevant standards;

- 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.

Records Management Staff Shall:

- Create and maintain recordkeeping procedures documenting the Canberra Institute of Technology recordkeeping requirements and containing recordkeeping rules and practices;
- Promulgate the Canberra Institute of Technology recordkeeping policies and procedures to all staff;
- Monitor staff compliance with the recordkeeping policy and procedures;
- Provide recordkeeping training and advice to all staff;
- Monitor and review the Canberra Institute of Technology recordkeeping system and tools, e.g. *Whole of Government Record Disposal Schedules* and the *Whole of Government Thesaurus of Terms*;
- Ensure consistent classification, titling, indexing and sentencing of records is carried out; and
- Ensure that records are kept for only as long as the Canberra Institute of Technology and the public require them as established in approved functional Record Disposal Schedules.

All the Canberra Institute of Technology Staff shall:

- Understand the recordkeeping obligations and responsibilities that relate to their position; and
- Adhere to the Canberra Institute of Technology policies, procedures and standards in keeping records, documenting their daily work and specifically creating and capturing records into identified recordkeeping systems.

Training and Awareness

In addition to recordkeeping policy and procedures, the Canberra Institute of Technology will provide other recordkeeping informative, training and awareness strategies including:

- Induction training;
- Users Guides / Naming Conventions / Frequently Asked Questions / Advice Sheets available on the Canberra Institute of Technology Intranet website, Face to face tutelage, telephone advice, email assistance;

- 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 RecFind6 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 Schedules* 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 system as its primary recordkeeping systems. 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 e.g. I/C 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 Appendix D

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 future access of the Canberra Institute of Technology records.

Suitable storage conditions ensure that records are protected, accessible and managed in a cost-effective way. The purpose served by the record, its physical form and its use and value will dictate the nature of the storage facility and services required to manage the records for as long as it is needed.

It is important to determine efficient and effective means of maintaining, handling and storing records before they are made, and then re-assess storage arrangements as the record's requirements change. Storage options must take into account access and security requirements, limitations and physical conditions. This applies particularly to electronic and digital records.

All the Canberra Institute of Technology staff must ensure the safekeeping and proper preservation of records. This includes ensuring records that are stored with contractors, consultants are held under arrangements that provide for the safekeeping, proper preservation and return of the records.

The Canberra Institute of Technology adheres to Territory Records Office Standard and Guideline *No 7 Physical Storage of Record* for the proper management and storage of its records.

Ownership

All records created by contractors, consultants or agencies funded by the Canberra Institute of Technology to deliver outsourced services are deemed Territory Records under the *Territory Records Act 2002* and belong to ACT Government.

Risk Management

Recordkeeping exercises risk management principles where judgements are made as to what is created and captured based on the perceived severity of the impact of not keeping a record. This valued

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 Territory 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

The value of a record is not dictated by its format, but by the:

- Content (i.e. is business related and whether it is trivial or important);
- Scarcity (i.e. whether it is unique or one of many copies); and
- Context (i.e. the considerations that promoted its creation).

Not every piece of paper or email written or received has to be kept. Some records may be destroyed as a Normal Administrative Practice (NAP).

The NAP provision of the Act 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 preparation 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)

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 Records Office Standards, Guidelines and advice.

Obligations

The Chief Executive Officer together with the Records Manager has delegated responsibility for ensuring compliance with the Canberra Institute of Technology Records Management Program.

Implementation

All managers and supervisors have a responsibility to foster an environment that promotes good recordkeeping. Effective implementation therefore will require managers and supervisors to monitor staff, consultants and contractors to ensure they understand and apply relevant recordkeeping procedures.

These procedures apply from the date of authorisation by the Chief Executive Officer, as Principal Officer under the Act. They remain in force until reviewed (refer to Section 4).

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 the Canberra Institute of Technology staff in relation to recordkeeping are defined and promulgated;
- Relevant position profiles and duty statements reflect the records management skills and responsibilities by the Canberra Institute of Technology;
- Training is available for records management and general staff in recordkeeping skills and responsibilities;
- Records Disposal Schedules have been approved by the Director of Territory Records under section 17(1)(b) of the Act for the Canberra Institute of Technology functions and their use is monitored;
- Performance measurement forms an integral part of the Program; and
- The Canberra Institute of Technology Records Management implementation is reported annually in accordance with current Annual Report Directions issued by the Chief Minister and Cabinet.

Performance measurement

The Canberra Institute of Technology will arrange for periodic audits of all aspects of the procedures to ensure compliance with the rules and practices outlined within them. Monitoring evaluates the performance of the records management program to determine whether it is meeting corporate objectives and relevant standards. Recordkeeping performance measures include but not limited to:

- Audit of recordkeeping systems to ensure compliance;
- Assessment of any new and monitoring of current business information systems to ensure records are captured and managed appropriately;

- Undertaking of annual file census to ensure accountability;
- Monitoring of functional thesaurus and record disposal schedules to ensure they are used appropriately;
- Quality control checks on all file creations/amendments/alterations to ensure consistency and in line with policy and procedures;
- Monitoring all record destruction activities to ensure consistency with record disposal schedules and in line with provisions of the Act;
- Obtaining feedback from the Canberra Institute of Technology staff on the quality and appropriateness of recordkeeping training; and
- Monitoring of recordkeeping procedures to ensure practices are in line with the Records Management Program.

Review of Records Management Program

The whole of the Program is to be reviewed not less that every five (5) years. In practice the Canberra Institute of Technology adopts a staged approach where a single element of the program is identified for review in a given period.

The Canberra Institute of Technology considers that its Records Management Program can be delivered only with suitably trained and skilled staff. In accordance with the responsibilities outlined elsewhere in this program, the Canberra Institute of Technology has the following requirements:

- Training in recordkeeping skills covers all staff and delivers skills and awareness of differing levels according to the exposure of each person to the Canberra Institute of Technology compliance records management requirements. It also covers records in all formats and all the Canberra Institute of Technology recordkeeping systems including the Canberra Institute of Technology nominated functions from the *Whole of Government Recordkeeping Thesaurus* and the *Whole of Government Records Disposal Schedules*.
- Evidence of recordkeeping training attended by the Canberra Institute of Technology staff is documented and the promotion of training courses is available; and
- A skills audit ascertaining the training requirements of the Canberra Institute of Technology staff is undertaken at intervals of no more than 12 months. Using industry competency standards as a bench mark, gaps and existing skills are identified and documented as the means for future training.

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 includes function, activities, subject descriptors, related terms and non-preferred terms. The alternative to controlled vocabulary is free text.

Disposal Schedule

A document approved by the Director of Territory Records which sets out the types of records an agency must make and how long they must be kept. There is also the *Whole of Government Record Disposal*

Schedules. This is a Whole of Government authorised disposal schedule for generic administrative records for all government departments and agencies.

Documents

Structured units of recorded information, published or unpublished, in hard copy or electronic form, managed as discrete units in information systems.

Free text

Natural language that is used in a file title and is not controlled. Free text is used after a subject descriptor if further specification is needed or in place of a subject descriptor. It can take the form of any related terms, numbers, names and dates.

Functions

The largest unit of business activity in an agency and is the highest level in the Business Classification Scheme. They represent the major responsibilities that are managed by the agency to fulfil its goals. Functions are high-level aggregates of the agency's activities. Functions are often described as 'things' or with nouns.

Hierarchy

A system that leads the searcher from a broad concept to a more specific concept.

Indexing

The process of establishing and applying terms or codes to records, to be used to retrieve them and to search for and analyse information in records across classifications.

Metadata

This is data about data. Metadata describing a file may include the name of the file requester, the title, the date ranges of documentation held on the file, and preceding and later papers and relationships of other files. Metadata may also indicate where files are located (including electronic files) and are particularly useful as electronic record keeping systems.

Narrower terms

Narrower terms show aspects or sub-categories of broader terms. Narrower terms of a function are activities. Narrower terms of activities are subject descriptors. A narrower term is the next step down in the hierarchy.

Non-preferred terms

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 preparation 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 public 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. Records Management will also complete the metadata and place an index number of the file to aid retrieval.

Scope note

An explanation of terms used in describing the records and the context in which they were made and used.

Sentencing

The process of implementing appraisal decisions by determining the part of a Records Disposal Schedule which applies to an individual record and assigning a retention period consistent with that part.

Subject descriptors

Second level descriptors that follow an activity. Subject descriptors further define the subject content of the activities represented by the activities.

Thesaurus (Functions-Based)

A uniform and standardised classification of terms based on the business functions and activities that provides controlled vocabulary and consistency for classifying, titling and indexing.

References

ACT Customer Service Standards

ACT Government Code of Ethics

Administrative and Civil Appeals Tribunal (ACAT)

Archival Quality Packaging - National Archives of Australia

Australian Standard for Records Management AS ISO 15489

Business Continuity Management Policy - ACTIM

Council of Federal, State and Territory Archives (COFSTA)

Evidence Act

Freedom of Information Act 1989

Guidelines for Storage of Records – National Archives of Australia

Occupational Health and Safety Act 1989

Privacy Act 1988

Public Sector Management Act 1994

Whole of Government Record Disposal Schedules

Whole of Government Recordkeeping Thesaurus

Territory Records Act 2002

Territory Records Office Standards and Guidelines for Records Management

Territory Version Keyword AAA (TVKAAA)

Appendix A - Production of Records for Courts and Tribunals

Staff may be requested or subpoenaed to provide records to external agencies for, among other reasons: court cases, civil and administrative tribunals and the ACT Coroner. Statutory authorities such as the Human Right Commission and the Ombudsman may also request documents in order investigate complaints.

(i) What is a Subpoena?

All courts have procedures that allow the parties to require the attendance at court of witnesses and to obtain access to documents that may assist their case. This is done by serving a subpoena to give evidence on the person required to attend, or where documents are sought, by serving a subpoena to produce documents on the person or body who possess the documents. A subpoena is a court order compelling a person to either give evidence or produce documents to a court.

(ii) Is Anyone Required to Attend?

It is important to read the subpoena carefully to ascertain whether the addressee is required to attend. A subpoena to give evidence requires personal attendance and a failure to do so may amount to a contempt of court. However, the recipient of a subpoena to produce documents may take advantage of procedures that enable the documents to be produced without the need for any person to attend. If in doubt, you should obtain legal advice. Forwarding the documents so that they will be received prior to the date on which the documents are required to be produced, known as the "return date", may be done by post or courier to the court.

(iii) What if no Documents can be found?

If after a thorough search no documents identified in the Schedule can be located then a short letter to this effect should be forwarded to the Registrar of the relevant court. As a matter of courtesy a copy of this letter can be provided to the solicitor who issued the subpoena.

(iv) What if the Canberra Institute of Technology does not wish to produce the Documents?

There are a number of grounds on which a subpoena may be set aside. One such ground is that the documents sought are the subject of a claim of legal professional privilege because they have been brought into existence for the purpose of obtaining legal advice or for the use in litigation. Another ground is known as public interest immunity and may be available where the court determines that production of the documents would be injurious to the public interest. The immunity has also been used to protect sources of information, including complaints about the ill treatment of children and police informers. It is important to note that it is the court which will determine whether the immunity is to apply. Once again it is desirable that legal advice be

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

Appendix B – ACT Civil and Administrative Tribunal & Complaints to the Ombudsman

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 decision of the Canberra Institute of Technology denying access to Territory records was made. You must make your request to the Senior Director (Governance, Advocacy and Community) within 28 days of receiving the attached letter.

Review by the ACT Civil and Administrative Appeals Tribunal

If your interests are adversely affected by a decision, you may apply to the Tribunal for a review of the decision.

Location: ACT Civil and Administrative Tribunal
ACT Health Building
Level 4, 1 Moore Street
Canberra City ACT

Telephone: 6207 1740

Postal Address GPO Box 370
CANBERRA ACT 2601

The information in this document relates to the ACT Civil and Administrative Tribunal. Generally however, the Federal Tribunal functions similarly to the ACT Tribunal. You should contact the Federal Tribunal for details.

Location: 4th Floor Telephone: 6243 4611
Canberra House
40 Marcus Clarke Street
CANBERRA ACT 2601

Postal Address: GPO Box 9955, CANBERRA ACT 2601

Powers of the ACT Civil and Administrative Tribunal

The Tribunal is an independent body. It can review on the merits of many decisions that are made by the Canberra Institute of Technology. The Tribunal can agree with the decision, substitute its own decision, or send the matter back to the Canberra Institute of Technology for reconsideration in accordance with Tribunal recommendations.

How to apply to the ACT Civil and Administrative Tribunal

To apply to the Tribunal for a review, simply write to it explaining the details of the decision and the reasons for review. Alternatively, you can obtain an application form from the Tribunal. It outlines all the information the Tribunal needs to process a review promptly.

Generally, you must make your request within 28 days of receiving this notice of the decision, but there are some variations. The time limit can be extended in some circumstances. Check with the Tribunal for more details.

Costs

When applying to the Tribunal, you must pay an application fee. However, no fee is payable if you are receiving legal or financial assistance from the Attorney-General (see below) or other legal aid or approved legal assistance. If you are unable to pay the application fee, you can apply to have the fee waived on the grounds of hardship. Ask at the Tribunal Registry for more details.

If you pay a fee and your case is successful, the fee will be refunded. You will have to pay any other costs involved in preparing or presenting your case. You will not have to pay the costs of the Canberra Institute of Technology in any event.

Access to documents

You may apply for access to any documents under the Territory Records Act 2002. For more information on how you can obtain documents, please contact:

The Records Manager
Organisational Governance
Governance, Advocacy and Community Policy
Community Services Canberra Institute of Technology
PO Box 158
CANBERRA ACT 2601
Tel: (02) 6205 4804

Legal assistance

You may be able to get advice or aid from the ACT Legal Aid Office. The Legal Aid Office can be contacted on 6243 3411. You may also apply to the ACT Attorney-General for legal or financial assistance. Decisions

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 process where a neutral mediator helps parties try to resolve a dispute for themselves.

Hearings: There will be a hearing of your case if it is not resolved at the conference or mediation stage. Hearings are conducted as informally as possible.

OMBUDSMAN

You also have the right to complain to the Ombudsman about the processing of your request. If you are dissatisfied with the way in which your request was handled, or in your dealings with officers of the Canberra Institute of Technology, you should lodge a complaint in writing to:

The Ombudsman
GPO Box 442
CANBERRA CITY ACT 2601

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 & STAKEHOLDER 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	Patient Service Administration Records	NI2013-590
PROPERTY EQUIPMENT & FLEET	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 are 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:	OLSAS	
Comments/description:	Legacy Student Administration System	
Vendor:		
Version number/iteration		
Date commenced:		
Date closed:	1998	
Element	Details	

Business System Name:	BEIMS	
Comments/description:	Facilities Maintenance System	
Vendor:		
Version number/iteration		
Date commenced:		
Date closed:		
Element	Details	

Business System Name:	AVETMISS Statistical Database
Comments/description:	
Vendor:	
Version number/iteration	
Date commenced:	
Date closed:	
Element	
Details	

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

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

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

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

Business System Name:	Horizon
Comments/description:	Library Information System
Vendor:	
Version number/iteration	
Date commenced:	
Date closed:	
Element	Details

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:	Qualifications Recording System
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