

OFFICIAL

**Canberra Institute  
of Technology**

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# **Canberra Institute of Technology**

## **Records Management Program - 2024**

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## Section 1 - Records Management Program: Introduction

This introductory section of the Records Management Program identifies essential elements of the Program. In accordance with Section 16 of *Territory Records Act 2002 (the Act)* the Canberra Institute of Technology has and complies with a Records Management Program which must be:

- Distinct and identifiable;
- Supported by policy; 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 all business activities. The Territory Records Office endorses the Council of Australasian 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 Executive Director – Corporate Services on behalf of the Chief Executive Officer in conjunction with the Canberra Institute of Technology Audit, Risk and Corporate Governance team including the Records Senior 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 CIT Records Management Policy.

Adherence to the policy 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 record 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 which may include such matters 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 Audit, Risk and Corporate Governance team which provides internal support services to the Canberra Institute of Technology. Records Management is included in Business and Risk Management Plans; which include controls, work priorities, targets, staff responsibilities, identifies analysis and prioritises risks.

The Audit, Risk and Corporate Governance team works on behalf of the Chief Executive to provide independent advice and assurance detailing how the Canberra Institute of Technology 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 is outlined in the Records Management Procedure.

### ***Relationship with the Director of Territory Records***

The Canberra Institute of Technology has in place arrangements:

- 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; and
- To consult with the Director of Territory Records for assistance, advice, and training of Canberra Institute of Technology staff in relation to records management.

### ***Capability assessment and maturity development***

The Executive Director – Corporate Services in conjunction with the Canberra Institute of Technology Records Senior Manager will report annually to the Director of Territory Records on its records, information and data management capabilities using the Compliance Checklist Tool provided by the Territory Records Office or as required by the Annual Report Directions.

Annual plans are developed and implemented to build capability-maturity that can include improvement planning, communication and training.

### ***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 2016*.

### ***Authorisation***

In accordance with Section 8 of the *Territory Records Act 2002*, I Christine Robertson, being the Interim Chief Executive Officer of the Canberra Institute of Technology, hereby certify that this Records Management Program in combination with the CIT Records Management Policy and CIT Records Management Procedure 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;
- Delegate the role of principal officer as detailed in the Act to the Executive Director – Corporate Services;
- 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.

**Christine Robertson**  
**Interim Chief Executive Officer (& Principal Officer)**

**28 November 2024**

## **Section 2 – CIT Records Management Policy**

The CIT Records Management Policy is available at  
[https://cit.edu.au/policies/records\\_management\\_policy](https://cit.edu.au/policies/records_management_policy)

This policy outlines CIT's principles and approach for record management. The Policy should be read in conjunction with this Program and the CIT Records Management Procedure.

## 3 – Records Management Practice

### ***Record Disposal Arrangements***

The Records Disposal Schedules used by the Canberra Institute of Technology are reviewed annually and published as part of the Director of Territory Records' Annexed report to the [Chief Minister, Treasury and Economic Development Directorate \(CMTEDD\) Annual Report](#).

Records may only be destroyed in accordance with one of the schedules or Canberra Institute of Technologies accepted normal administrative practice. Additional arrangements are in place to protect records, information and data that may allow people to establish links with their Aboriginal or Torres Strait Islander heritage and for records, information and data that is to be retained in perpetuity for cultural and historical purposes. In all cases a proper review should be undertaken with the assistance of the Records Manager prior to the completion of any disposal.

Details of all record disposal activities completed by the Canberra Institute of Technology are provided to the Territory Records Office in accordance with provisions of the Act.

### ***Storage Arrangements***

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.

All Canberra Institute of Technology staff must ensure the safekeeping and proper preservation of records. This includes ensuring records that are stored with contractors and 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 Act and belong to the 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 value 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.

Records Management staff can provide advice and guidance to Canberra Institute of Technology employees, in recordkeeping fundamentals and to determine within the confines of the recordkeeping policies and this Records Management Program, the level of management required for their documents.

## ***Public Access and Use***

When an application for access to records that are over 20 years of age is made, advice will be sought from the Director of Territory Records before access is given. It is estimated that only about 15% of Canberra Institute of Technology holdings would exceed a 20 year lifecycle.

FOI request are processed in accordance with the *Freedom of Information Act 2016* and the ACT Government Online FOI Publishing Policy.

Canberra Institute of Technology complies with the [Copyright Act 1968](#).

The Canberra Institute of Technology has been granted an exemption under Section 28 of the Territory Records Act for records relating to staff and students that have high retention periods applied to them. A Section 28 declaration is a legal notification by the Director of Territory Records that states which records that could be open to public access are, in fact, exempt from public access through the [Territory Records Act 2002](#).

## Section 4 –Review of the Records Management Program

The Records Management Program, Policy and Procedure are to be reviewed not less than every four 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
- 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 AND REFERENCES

### ***Definitions***

#### **Activities**

Activities reflects tasks performed within the business classification function and reflect the second level of the 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*. There 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**

Functions are the largest unit of business activity in an agency and are 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 basic information about data. Metadata describes file data including the title, the name of the file creator, the creation date and 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 in 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**

A non-preferred term is a synonym to a preferred use term in the controlled vocabulary that has an equivalent meaning to the preferred use term, but is not used for indexing records (e.g. "bananas" is a non-preferred term for "banana").

## **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).

## **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 that documents actions, decisions and statements of its business activities, whether it was created or received by the agency.

Records, therefore, may be in any form: electronic documents, paper, microfilm, 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 systems that capture, maintain and provide access to records over time. Record keeping systems encompass policies, advice, 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 2016* 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.

### **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***

Australian Standard for Records Management AS ISO 15489 Council of Federal, State and Territory Archives (COFSTA)

[Copyright Act 1968](#)

[Evidence Act 2011](#)

[Freedom of Information Act 2016](#)

[Information Privacy Act 2014](#)

[Public Sector Management Act 1994](#)

[Whole of Government Record Disposal Schedules](#)

[Territory Records Act 2002](#)

[Territory Records Office Standards and Guidelines for Records Management](#)