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RECORDS MANAGEMENT POLICY

1 PURPOSE

- 1.1 This policy clarifies the principles, methods, and guidelines related to records management at AHETI.
- 1.2 This policy ensures that AHETI staff and any other individuals representing the institution comprehend their respective roles and obligations in recordkeeping.
- 1.3 AHETI assures dedication to maintaining effective, efficient, and compliant record keeping procedures.

2 SCOPE

- 2.1 The Records Management Policy is applicable to:
 - i. All AHETI officials, employees, and individuals performing official functions on behalf of or in the name of the institution, including contractors and third parties.
 - ii. All facets of AHETI's operations, encompassing teaching and learning, research, student administration and services, governance, and corporate/administrative services.
 - iii. All forms of AHETI records, comprising physical (hard copy or paper) records, digitised and scanned records, electronic records such as emails, records stored in databases or on websites, microfiche, and other technology-dependent records.



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- iv. This policy forms an integral part of the Records Management Framework and falls under the domains covered by the AHETI Information Management Framework (under development). It is recognised that the creation and implementation of the record-keeping framework and program will be an ongoing and evolving process. The records management program puts into practise the Records Management Framework and this policy.
- 2.2 The management of certain types of records, like research data or legal records, may be subject to additional policy requirements.

3 DEFINITIONS

- 3.1 In the context of this Policy and its related Procedures, the following definitions are applicable:
- i. Record - documented information, regardless of its format, generated or received by AHETI or any individual representing AHETI in the course of conducting business or managing affairs, and which serves as proof of such business or affairs. Records can take various forms, encompassing paper documents, emails, microfiche, audio recordings, data stored within a business system (e.g., Google Drive, HR, or Finance system), disks, memory sticks, CDs, maps, blueprints, photographs, internet and intranet content, and more. A record may exist in multiple forms, such as a physical letter, a digital document, and a scanned image.

4 POLICY STATEMENT

- 4.1 AHETI acknowledges the pivotal role of corporate records in:
- i. Upholding sound business practices that align with the institution's strategic objectives.



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- ii. Supporting service delivery, business continuity, and effective corporate governance.
 - iii. Facilitating evidence-based and well-informed decision-making.
 - iv. Fostering accountability and transparency.
 - v. Ensuring compliance with various legal and regulatory requirements (including Right to Information, Information Privacy, ethical conduct, etc.).
 - vi. Preserving the institutional memory of AHETI.
 - vii. Providing documentation of AHETI, its staff, students, and stakeholders' actions (or lack thereof), decisions made, and commitments undertaken.
- 4.2 AHETI is committed to establishing, maintaining, and continuously enhancing its records management practices, processes, and organisational culture. It aims to establish a compliant, efficient, and effective records management program under the leadership of Corporate Information Services.
- 4.3 All AHETI personnel (including those acting on behalf of AHETI) are responsible for creating, managing, and preserving AHETI records in compliance with this policy.

5 PRINCIPLES

- 5.1 The AHETI recognises that corporate records serve a critical role in:
- i. Facilitating systematic and comprehensive records management.
 - a. AHETI's records must comprehensively reflect all institution-related activities, transactions, decisions, representations, considerations, and commitments.



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- b. Records should be generated promptly after the event they pertain to and should integrate
 - c. Standardised records management processes into the business processes in which records are created, received, accessed, used, disclosed, transferred, preserved, or disposed of.
 - d. AHETI records should be systematically and uniformly captured within an approved business system or electronic document and records management system to ensure their continued authenticity.
 - e. All records will be categorised according to AHETI's Business Classification Scheme (BCS), other applicable classification tools, and relevant standards (e.g., naming conventions, data quality, etc.).
 - f. Ownership of all AHETI records is vested in the institution.
- ii. Emphasising that Records Management is a collective responsibility.
 - a. AHETI Director has delegated recordkeeping responsibility to all staff members. Each staff member is responsible for creating and maintaining comprehensive and accurate records that effectively document AHETI's business activities and support decision-making. All staff are also responsible for recording records in AHETI's recordkeeping system or an approved AHETI business system with the necessary recordkeeping functionality.



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- b. Any AHETI employee or individual acting officially on behalf of the institution cannot delegate the responsibility of ensuring that the records they create or receive adhere to AHETI's records management framework. However, this doesn't prevent a staff member from assigning the task of recording records to another employee, in which case, the assigning officer remains accountable for ensuring that the records are appropriately captured and in a timely manner.
 - c. Records Management governance has been entrusted to the Manager, Corporate Information and eRecords, responsible for the development, maintenance, monitoring, and implementation of records management strategy, framework, programs, monitoring, and applications. Disaster planning and recovery, along with the vital records program, fall under the Manager, Corporate Information & eRecords' purview.
 - d. Business continuity of the records management system administration is the responsibility of Information Technology & Resources.
 - e. AHETI is transitioning to a decentralised and devolved records management model where records management activities, corresponding to the different stages of the records' lifecycle, are conducted by the respective work areas that generate, receive, and utilise the relevant records. For instance, Human Resource Management maintains records related to employee services, recruitment, remuneration, etc. This model will be progressively implemented across the institution.
- iii. Stressing the need for records to be complete, accurate, and for the systems managing them to be reliable and secure.



- a. Comprehensive and accurate records must exhibit attributes like adequacy, authenticity, content, completeness, inviolateness, contextual relevance, meaningfulness, accessibility, structural organisation, accuracy, and usability.
- b. Officers must ensure that records accurately and completely represent the transaction, activity, decision, discussion, or undertaking undertaken by the institution.
- c. The failure to create records, the generation of incomplete or inaccurate records, falsification, and unauthorised alterations can lead to legal liability and breaches of the Code of Conduct, resulting in disciplinary action.
- d. Physical and electronic security measures will be employed to safeguard records against unauthorised access, use, disclosure, alteration, damage, or destruction.
- e. The location, access, and use of records will be logged and monitored, and users are held accountable for the records/files in their custody, including safeguarding them from unauthorised access.
- f. To ensure that all records are correctly contextualised within the institution, all records will be integrated into a file; loose records will not be allowed.
- g. All staff will be provided access to the records necessary for their roles unless valid business reasons exist to restrict access, such as privacy or confidentiality. The reasons for access restrictions are documented in the Records Management Security Classification Scheme.
- h. Security and access permissions for records will be granted on a need-to-have basis and must be approved by the relevant Executive.



- i. Security and access will be monitored, and any breaches will be reported to the relevant Executive.
 - j. Before obtaining access to the records management system, a user must complete the requisite training as specified by the Manager, Corporate Information and eRecords.
 - k. Physical records must be filed in accordance with the Filing Standard, digitised following the Digitisation Standard, and stored in conditions consistent with the Storage Standard.
 - l. Regardless of format, records will be managed within the electronic document and records management system or an approved business system.
 - m. Copies of records should not be stored on removable peripheral storage devices (e.g., USB drives, flash drives, memory cards, CDs, etc.) unless the device and its contents are properly secured. Original records should never be stored on removable peripheral storage devices.
 - n. Records retained in business systems may be subject to migration, conversion, or system decommissioning, all of which will be performed in compliance with AHETI's records management obligations.
- iv. Underscoring the importance of retaining records for as long as they are necessary and disposing of them lawfully and in a planned and approved manner.
 - a. Records will be preserved in a usable and accessible format for at least the minimum retention period specified in the applicable Retention & Disposal Schedule approved by the Queensland State Archivist.
 - b. The disposal of records must be conducted in line with the Records Disposal Procedure.



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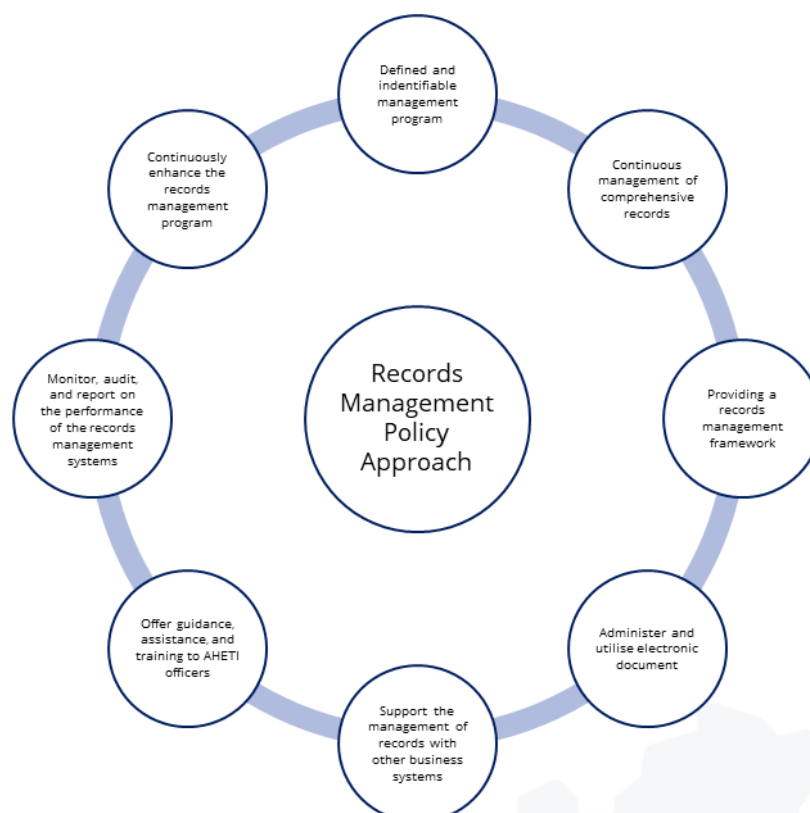
- c. Files will be sentenced according to an approved Retention and Disposal Schedule and appraised before their transition to inactive storage, permanent retention, or disposal.
- d. Only officers with Records Management Disposal Delegation may authorise the disposal of AHETI records. Any other disposal will be considered unlawful under the Public Records Act and may result in fines of \$16,500 for each record disposal.

6 POLICY APPROACH

- 6.1 The responsibility for this Policy, in conjunction with the accompanying Records Management Framework documents, falls on the Manager, Corporate Information and eRecords. Its implementation will involve:
 - i. The establishment of a distinct and recognisable records management program managed by Corporate Information and eRecords Services.
 - ii. The continuous management of a comprehensive records collection throughout their lifecycle.
 - iii. Providing a records management framework, which includes policies, procedures, delegations, standards, forms, and records management tools.
 - iv. Administering and utilising the electronic document and records management system.
 - v. Supporting the management of records within other business systems (e.g., transaction records related to finance, HR, etc.).
 - vi. Offering guidance, assistance, and training to AHETI officers to fulfil their records management duties.



- vii. Monitoring, auditing, and reporting on the performance and quality of the records management system/s, processes, and programs.
- viii. Continuously enhancing the records management program.



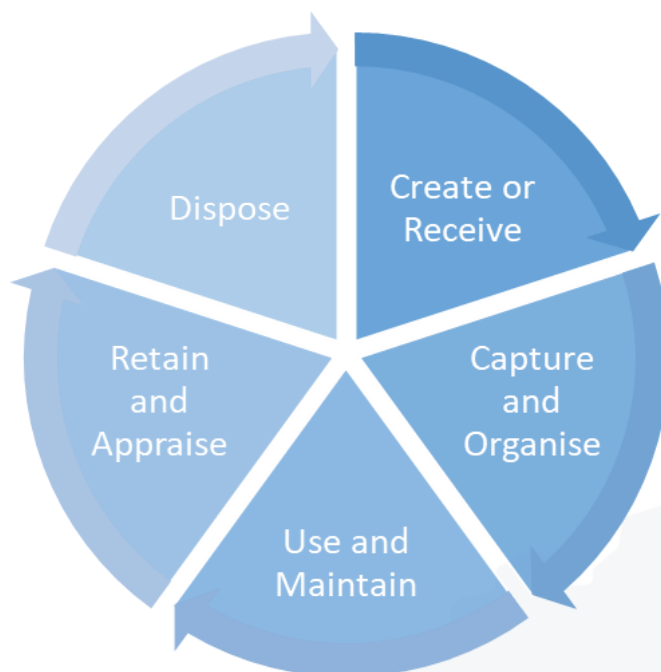
6.2 Records Management Policy Approach

- i. The foundation of the Records Management approach lies in managing records through the Records Management Lifecycle, which offers a systematic sequence for records management processes, procedures, and activities. All stages of the life cycle must be effectively managed to support sound recordkeeping practices. Several supporting documents related to this policy and records management training will concentrate on specific phases of the life cycle, such as the disposal procedure or capture procedures.



6.3 Records Lifecycle

- ii. The records lifecycle is a model for records and archival management that outlines the various stages a record may go through during its existence. It's important to note that not all records go through every stage of the life cycle. For instance, some records are preserved indefinitely and are never disposed of. The concept of the lifecycle is a central element of the framework, as many of the associated documents and processes are linked to specific stages within this lifecycle.





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