Records Management Policy

Section 1 - Introduction

(1) The University is considered a body corporate constituted under the Charles Darwin University Act 2003. As such, the University falls under the definition of a Public Sector Organisation in the Information Act 2002 (NT) and must comply with this legislation. The Information Act 2002 requires the University to make certain information publically available and other information available on request whilst protecting the privacy of individual personal information. To comply with this requirement, all members of the University community must keep full and accurate records of University activities and operations.

(2) All members of the University community are responsible for proper records management that complies with the legislated requirements and must contribute to the 'corporate memory' through compliance with University records management governance documents.

(3) The University regards non-compliance with the Records Management governance documents as a serious matter.

Section 2 - Statement of Authority

(4) The authority behind this policy is the Charles Darwin University Act 2003 part 3, section 15.

Section 3 - Compliance

(5) This is a compliance requirement under the Information Act 2002.

Section 4 - Intent

(6) This document is intended to inform the University community about how to identify and properly manage records to ensure records are saved or filed (captured) in a way that they can be found again easily (discovered). This is to ensure effective and efficient records management through transparent and appropriate governance practices and also meeting University obligations under the Information Act 2002. This policy must be read in conjunction with the University's Records Management Procedures.

Section 5 - Relevant Definitions

(7) In the context of this document:

a. Governance document means a formally approved document that outlines non-discretionary governing principles and intentions, in order to guide University practice. Governance documents are formal statements of intent that mandate principles or standards that apply to the University's governance or operations or to the practice and conduct of its staff members and students they include the Charles Darwin University Act (2003), by-laws, policies, procedures, guidelines, rules, codes and the Enterprise Agreement;

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b. Information Act means the Information Act 2002 (NT);
c. Public Sector Organisation (According to the Information Act 2002) means a body established under an Act. The University is covered by this definition;
d. Register means the Register of Systems Approved for the Management of University Records; and
e. University community means officials and individuals carrying out University business. This includes, but is not limited to, all staff members, researchers, peer reviewers, students, volunteers, consultants, agents and contractors.

Section 6 - Policy

University Records and Records Management

(8) University management is required from time to time to produce records as evidence of such things as:

a. a student's assessments or examination results that led to the awarding of a particular grade;
b. information relating to a request for access to information under information access laws;
c. to fulfil the obligations of a subpoena for a court of law;
d. project management;
e. historical records and data for benchmarking, reports, audits and continuous improvements;
f. grant acquittal;
g. to produce evidence of research findings or support the methodology used in a research output; and/or
h. to produce evidence of a staff member's work history and performance.

(9) To ensure that all records are kept (captured) and are readily accessible (discoverable) to those with the authority to do so, it is essential that all members of the University community utilise good records management techniques in order to comply fully with the University's legislated obligations under the Information Act 2002.

University Records

(10) A record as defined by the NT Public Sector Organisations Records and Information Management Standards means:

a. recorded information in any form (including data in a computer system) that is required to be kept by a public sector organisation as evidence of the activities or operations of the organisation, and includes part of a record and a copy of a record; and/or
b. information created, received, and maintained as evidence and information by an organisation or person, in pursuance of legal obligations or in the transaction of business.

(11) For the purposes of this University, a record is considered to include, and is not limited to:

a. emails relating to, or containing information about, University business;
b. hard-copy or paper-based documents, correspondence and agreements;
c. assessments, examinations, application and enrolment forms;
d. data stored about students, staff, volunteers, contractors and authorised visitors in a database;
e. meeting papers, such as agendas, reports and minutes;
f. contracts, agreements or memoranda of understanding;
g. financial records including invoices, donations, funding and records of income and payments;
h. reports and other generated material; and

i. copies of publications including annual reports, course guides and webpages.

Records and Archives Branch

(12) The Records and Archives Branch is responsible for:

a. managing the University's Electronic Document and Records Management System and the administration of that system;
b. assessing systems and work processes for managing University records;
c. maintenance of the Register of Systems Approved for the Management of University Records;
d. conducting regular auditing on records management processes across the University;
e. managing the storage of archived, hard-copy University records;
f. managing the application of retention and disposal of University records;
g. developing and reviewing University Records Disposal Schedules; and
h. providing advice on how to implement new work processes that involve the management of University records.

(13) For any information on, or to discuss issues relating to records; best practice records management practices; and/or retention and disposal of University records contact the University's Records and Archives (records@cdu.edu.au).

(14) For information on privacy, subpoenas or freedom of information issues and requests, contact the University's Governance branch (governance@cdu.edu.au).

Status and Details

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Responsible Executive	Louise King Provost
Implementation Officer	Cheryl Dias Information Management Coordinator +61 8 89467069
Enquiries Contact	Cheryl Dias Information Management Coordinator +61 8 89467069

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