

# Records and Document Management



*Policy P3*

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## Purpose

To establish the requirements for adequate recordkeeping, document management and security of information for the Institute of Internal Auditors-Australia (IIA-Australia).

To ensure academic records of all current and former candidates are managed in an accurate, efficient, comprehensive, secure and timely manner, and in a way which meets the requirements of the Commonwealth and State governments, accreditation bodies, and relevant legislation.

## Scope

This policy is applicable to all staff and volunteers of the IIA-Australia and to all corporate records and documents, in any format and from any source. Examples include paper, electronic messages, digital documents and records, video, DVD, and web-based content.

## Definitions

|      |                      |  |
|------|----------------------|--|
| P3.1 | Document             | Structured units of information recorded in any format and on any medium and managed as discrete units or objects. Some documents are records because they have been used in a business transaction, or were created to document such a transaction. Conversely, some documents are not records because they do not function as evidence of a business transaction and they can be low level administrative documents.                                 |
| P3.2 | Email                | The transmission of text messages and optional file attachments over a network.  |
| P3.3 | Records              | Information created, received, and maintained as evidence by an organisation or person, in pursuance of legal obligations or in the transaction of business.<br>(Source: AS ISO 15489.1 2002, Information and documentation – Records management 3.15 now: SAI: AS ISO 15489 (Set)-2004 Records Management Set.)   |
| P3.4 | Recordkeeping system | Information system that captures, manages and provides access to records through time.<br>(Source: AS ISO 15489.1 2002, Information and documentation – Records management 3.15 now: SAI: AS ISO 15489 (Set)-2004 Records Management Set.)   |
| P3.5 | Records management   | Field of management responsible for the efficient and systematic control of the creation, receipt, maintenance, use and disposition of records, including processes for capturing and maintaining evidence of, and information about, business activities and transactions in the form of records.<br>(Source: AS ISO 15489.1 2002, Information and documentation – Records management 3.15 now: SAI: AS ISO 15489 (Set)-2004 Records Management Set.) |

## Policy statement

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IIA-Australia requires all staff and volunteers to ensure:

- ❖ records are managed in a consistent and structured manner
- ❖ records are stored in secure manner
- ❖ reasonable steps are undertaken to protect personal information from unauthorised access, modification or disclosure
- ❖ personal information is destroyed or permanently de-identified when no longer required
- ❖ compliance with legal and regulatory requirements on record management (Commonwealth and State governments, accreditation bodies, and relevant legislation)
- ❖ records and documents are managed in accordance with IIA-Australia procedures, which include time limitations and method of storage.

The IIA-Australia aims to provide all of our web users with a safe online experience. Our system encodes credit card and contact details to ensure it is safe to transfer to us.

Full details of storage methods and time limits are provided in Procedure R2 – Candidate Academic Records Management.

## Responsibility

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The CEO is responsible for ensuring that the organisation complies with this policy and delegates this responsibility as follows.

- ❖ The Executive Officer is responsible for establishing policies and procedures for records management and information security and ensuring that staff and volunteers are aware of the policies and procedures.
- ❖ The Finance Manager is responsible for the financial and operational records.
- ❖ The Education Manager is responsible for the candidate and higher education records.
- ❖ The Executive Officer is responsible for the governance records and for compliance with Privacy Legislation.
- ❖ The Digital & Communications Manager is responsible for the website, published documents and email templates.
- ❖ IIA-Australia managers are responsible for ensuring their area and team comply.

## Legislative context

- ❖ Commonwealth Copyright Act 1968
- ❖ Freedom of Information Act 1989 (NSW)
- ❖ Privacy Act 1988 (Cwth)
- ❖ Workplace Surveillance Act 2005 (NSW)

## Associated documents

- ❖ IIA-Australia Policy P12: Privacy and Security of information
- ❖ IIA-Australia Procedure R1: Records and Document Management
- ❖ IIA-Australia Procedure R2: Candidate Academic Records Management

The above documents are available on the website at: [www.iaa.org.au](http://www.iaa.org.au)

## Implementation

The Records and Document Management Policy is implemented throughout the IIA-Australia via:

- ❖ publication on the IIA-Australia web site
- ❖ email notification to staff
- ❖ email notification to relevant committees of the IIA-Australia Board of Directors
- ❖ Module Learning Pack published for candidates of the Graduate Certificate in Internal Auditing.

IIA-Australia managers are responsible for implementation in their areas.

## Version:

| Version No | Date             | Document Location | Name of Person | Comments  |
|------------|------------------|-------------------|----------------|---|
| V1         | November 2011    |                   | EC             | Policy created  |
| V2         | 29 Nov 2016      |                   | EC             | Editing and updating of legislation and responsibilities as required. |
| V2.1       | 12 December 2016 |                   | AS             | Minor editing   |
| V3         | January 2017     |                   | EC             | Updating for HES Framework 2015                                       |

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