

## **ANO archives and document management policy**

### **Purpose**

To establish an archiving framework for the creation and management of authentic, reliable and useable records which support business functions and activities and which comply with the regulatory and legal environment.

### **Overview**

The operational effectiveness of the Aircraft Noise Ombudsman's (ANO) office depends on the implementation of a records system which provides for business to be conducted in an efficient and accountable manner.

Efficiently managed records are a key ANO asset, providing administrative transparency, consistency and accountability, as well as enhancing the ANO's identity by the collection and preservation of its corporate memory.

Client records form part of the records system and the ANO needs to keep accurate records of important client information in order to manage the information received from, or provided to, each client.

This policy provides guidance for the records system in order to meet legal, operational, compliance, accountability and community expectations and requirements.

The Records Management Policy has the following objectives:

- specifies the requirements for the ANO records system which manages records from receipt or inception through to their destruction or permanent retention
- ensures that the ANO's record system complies with legislative requirements.

### **Scope**

This policy applies to records created, received and used in the conduct of ANO business activities. These records include, but are not limited to, Client files, staff files, correspondence, business email, administrative files, financial records and minutes of meetings.

This policy is applicable to anyone involved in creating or managing records during the conduct of ANO business activities.

## **RECORDS FRAMEWORK**

The ANO is committed to making and keeping full and accurate records of its transactions and activities. The ANO will develop, implement, maintain and review the ANO records systems to ensure it complies with relevant standards and legislative requirements. Records systems may be formally documented (such as the procedures relating to the ANO Complaints System) or undocumented (such as office procedures and protocols).

## **IDENTIFYING RECORDS**

The ANO will:

- determine what records should be created, according to the needs of the ANO
- specify when and where records are captured into the record system (for example, outlook folders)
- decide in what format records should be created and captured, and the technologies to be used
- specify how to organise records to support their requirements for use
- track the movement and use of records

## **DEFINING RESPONSIBILITIES**

The ANO will:

- define responsibilities and authorities for all aspects of records management
- provide staff and systems for the operation of the records system
- require all staff to comply with this policy and any associated procedures and guidelines
- require staff to be cognisant of the requirements of the Archives Act according to their roles in record management.

## **STORING AND CONTROLLING RECORDS**

The ANO will:

- ensure that records are stored in a safe and secure environment
- ensure that records which are vital to business continuance are protected and recoverable
- ensure equipment and systems are maintained to access records in whatever format they are maintained
- regulate access rights, conditions and restrictions to address privacy, security and FOI
- provide access to records, as appropriate, to meet business and community expectations
- provide access to records, as appropriate, to meet legal and legislative requirements (including provision of records to National Archives of Australia (NAA), noting certain records are exempt from such provision).

## **PRESERVING AND ARCHIVING RECORDS**

The ANO will:

- preserve, store and handle records to prevent loss or decay
- ensure that records are maintained only for as long as needed or required
- consult with the National Archives of Australia (NAA) prior to disposal of any records
- dispose of records in a systematic manner when they are no longer required.

## **MONITORING**

The ANO will:

- monitor compliance with the records systems
- evaluate opportunities for improving the effectiveness, efficiency and quality of the system

## **EFFECTIVE DATE**

This policy is effective from 15 June 2015 and remains in effect until further notice.