Records Management Policy

Responsible Officer: Chief Operating Officer

Approved by: Vice-Chancellor

Approved and commenced: November 2017

Review by: November, 2020

Relevant Legislation, Ordinance, Rule and/or Governance Level Principle:
- Archives Act 1983
- Archives Regulations 2014
- Evidence Act 2001
- Electronic Transactions Act 2000
- Limitations Act 1974
- Financial Management and Audit Act 1990
- Financial Management and Audit Regulations 1997
- Personal Information Protection Act 2004
- Right to Information Act 2009
- Work Health and Safety Act 2012
- Work Health and Safety Regulations 2012

Responsible Organisational Unit: Information Technology Services

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1 Objective

The objective of the Records Management Policy is to provide a records management framework that ensures that:

- Records are appropriately created, managed, maintained and disposed of in accordance with legislative requirements, policy, and recognised standards of best practice
- Recordkeeping practices are set up to support all activities of the University
- Recordkeeping practices are consistent and at a suitable standard across the University
- Levels of responsibility are established regarding recordkeeping pertaining to all functions, processes, activities and transactions of the University
- Appropriate security and access over University records is provided
- Historical documents of the University are captured and preserved

2 Scope

This policy applies to all employees of the University and to all other parties conducting business on behalf of or acting as a representative of the University.

It applies to all aspects of the University’s business, including all records created and received as a result of transactions, research, teaching and learning, student administration and services and all software applications that generate records including email, databases, office applications and websites.

3 Policy Provisions

3.1 Records must be made

Records are to be created to document or facilitate the transactions of all business activities. Business rules and procedures are to be put in place to ensure that requirements to make records are documented and that systems are in place to facilitate the creation of records. All staff are to be made aware of their responsibilities to make records.

3.2 Records must be accurate

Records are to be created at the time or as soon as practicable after the event to which they relate. All records created by the University are to provide a correct reflection of what was done, communicated or decided.

3.3 Records must be authentic

Records created or received by the University are to be routinely captured into an approved recordkeeping system and appropriate metadata created and captured, or otherwise associated with records.

3.4 Records must have integrity

Recordkeeping systems and storage facilities are designed and implemented to protect records from unauthorised access, alteration, deletion or loss. Unauthorised access, alteration or destruction of records is forbidden by University policy and practice. Migration of records from one system to another is to be controlled, documented and compliant with best practice.
3.5 Records must be accessible and useable

Records are to be linked to their business context, which includes records relating to the same business activity or transaction. The location and use of records is to be recorded and tracked. Records are to be accessible for as long as they are required and disposed of in accordance with University disposal procedures.

3.6 Records must be disposed of appropriately

Records must be disposed of in accordance with legislative requirements, policy, and recognised standards of best practice.

4 Responsibilities

All University employees have a responsibility to ensure University records that they create and receive as part of their business role are complete, accurate and managed in accordance with this Policy and associated Guidelines and Procedures.

The Vice Chancellor and Senior Management Team have overall responsibility for ensuring that the University fulfils its legal and business obligations in relation to recordkeeping and that adequate resources are available for managing and maintaining University records.

Heads of Organisational Units are required to facilitate and promote the establishment and resourcing of appropriate record keeping systems in accordance with University Policy and Procedures. Heads of Organisational Units are to ensure that staff members have a clear understanding of recordkeeping requirements for their business area and provide adequate training and education. They are responsible for ensuring records are disposed of in accordance with authorised disposal schedules, and for certification of entries made in each of the business units Register of Records Destroyed.

The Records Management Unit (RMU) is responsible for issuing policy, procedures and guidelines, education, training and advice to assist areas to conform to the requirements for University recordkeeping. The RMU is also responsible for the configuration, development, implementation, training and support for the Electronic Document and Records Management System (EDRMS) that is utilised by business areas where the system has been implemented...

Information Technology Services is responsible for maintaining the databases and systems on which records and information is stored including undertaking system backups and developing, maintaining and testing the University’s disaster recovery plan.

5 Definitions and Acronyms

| Accountability | The principle that individuals, organisations and the community are responsible for their actions and may be required to explain them to others |

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1) Records that are appraised as having archival value. This definition of the term differs from that used in the IT sphere where it refers to a copy of one or more files, or a copy of a database that is saved for future reference or for recovery purposes in case the original data is damaged or lost.

2) A place such as a building, room or storage area where archival material is kept.

3) An organisation (or part of an organisation) responsible for appraising, acquiring, preserving and making available archival material, e.g. the Tasmanian Archive and Heritage Office.

Business Activity
An umbrella term covering all the functions, activities and transactions of an organisation and its employees. Business activity is used as a broad term, not restricted to commercial activity and including public administration, non-profit and other activities.

Capture
The process of lodging a document or digital object into a recordkeeping system and assigning metadata to describe the record and place it in context, thus allowing the appropriate management of the system over time. For certain business activities this functionality may be built into business information systems so that the capture of records is concurrent with the creation of records.

Disposal
The range of processes associated with implementing records retention, destruction or transfer decisions which are documented in retention and disposal schedules or other instruments.

Electronic Record
A record created, communicated and/or maintained by means of electronic equipment. Although this term can refer to analogue materials (e.g. videotapes), it generally refers to records held in digital form on magnetic or optical computer storage media.

Evidence
The information that tends to prove a fact and supports business activity.

Metadata
Structured information that describes and/or allows users to find, manage, control, understand or preserve other information over time. Metadata is attached to records when they are created and added to as a result of different processes such as sentencing and disposal.

Organisational Unit
College, Faculty, School, Centre, University Institute, other University Entity, Division, Section or University Business Enterprise.

Preservation
The processes and operations involved in ensuring the technical and intellectual survival of authentic records through time. Preservation encompasses environmental control, security, creation, storage, handling, and disaster planning for records in all formats, including digital records.

Record
Recorded information in any form “created or received and maintained as evidence and information by an organisation or person, in pursuance of legal obligations or in the transaction of business.”
Recordkeeping

The making and maintaining of complete, accurate and reliable evidence of business transactions in the form of recorded information. Recordkeeping includes the creation of records in the course of business activity, the means to ensure the creation of adequate records, the design, establishment and operation of recordkeeping systems and the management of records used in business (traditionally regarded as the domain of records management) and as archives (traditionally regarded as the domain of archives administration). 11

Recordkeeping System

A framework to capture, maintain and provide access to evidence of transactions over time, as required by the jurisdiction in which it is implemented and in accordance with common business practices. Recordkeeping systems include:
- both records practitioners and records users
- a set of authorised policies, assigned responsibilities, delegations of authority, procedures and practices
- policy statements, procedures manuals, user guidelines and other documents that are used to authorise and promulgate the policies, procedures and practices
- the records themselves
- specialised information and records systems used to control the records
- software, hardware, other equipment and stationery. 12

Records Management

The 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. 13

Transaction

1) The smallest unit of a business activity.
2) The third level in a business classification scheme.
3) The process of a request being made on a website and a service being received and/or acknowledgement of the request. 14

University Employee

Any individual employed by the University of Tasmania, including permanent, fixed-term and casual staff members and any contractors or consultants hired to perform work on behalf of the University.

Definitions obtained in part from the following:
1, 10, 13 & - AS ISO 15489 Australian Standard for Records Management
7 - AS 4390 Australian Standard for Records Management
2, 3, 4, 5, 6, 8, 9, 11, 12, 14 National Archives of Australia - Glossary or recordkeeping terms

6 Supporting Documentation

Standards applicable to Records Management include:

<table>
<thead>
<tr>
<th>Number</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>AS ISO 15489:2016</td>
<td>Records Management – Part 1; General Part 2: Guidelines</td>
</tr>
</tbody>
</table>
## AS ISO 23081.1-2006 (R2016)
Records Management Processes – Metadata for Records Parts 1 - 3

## AS/NZS ISO 9001:2000
Quality Management Systems

## AS ISO 19005.1-2006 (R2016)

## AS ISO 18492-2006 (R2016)
Long-term preservation of electronic document-based information

## AS ISO 15801-2014
Electronic Imaging – Information stored electronically – Recommendations for trustworthiness and reliability

## ISO 1544-1:2004
JPEG 2000

## ISO/TR 13028:2012
Implementation guidelines for digitization of records

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## UTAS Policies
- ICT Security Policy
- Management of Research Data Policy
- Privacy Policy
- Responsible Conduct of Research Policy
- Staff Access to Personal File Policy
- Use of Scanned Signatures Policy
- Social Media Policy
- Web Policy

## UTAS Guidelines
- Records Management Guidelines
- Records Security Guidelines
- TRIM Security Guidelines

## UTAS Procedures
- Document and Records Management Procedures
- Public Access to Restricted Archived University Records Procedure
- University Contract Recordkeeping Procedure
- Management of Research Data Procedure
- Secure Disposal of ICT Equipment Procedure

## UTAS Standards
- TRIM Data Entry Standards

## UTAS Ordinances
- Ordinance 18 – Intellectual Property

Policies/Procedures applicable to the University of Tasmania Recordkeeping practices:
7 Versioning

<table>
<thead>
<tr>
<th>Former Version(s)</th>
<th>Version 1 – <em>Records Management Policy</em>; approved October 2008; reviewed October 2013</th>
</tr>
</thead>
<tbody>
<tr>
<td>Current Version(s)</td>
<td>Amended in November 2017 to update references to Australian Standards and minor changes to content under the Section Responsibilities</td>
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