



UNIVERSITY
OF TASMANIA

RECORDS MANAGEMENT UNIT

RECORDS MANAGEMENT GUIDELINES

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**These guidelines support the Records Management Policy and have been
approved by the Executive Director, Finance and Administration**

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1 What is a Corporate Record

Corporate Records are as defined by the Records Management Standard AS ISO 15489.1 “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”.

Corporate Records include, but are not limited to, paper and electronic documents, drawings, maps, plans, photographs, microforms, sound and video records, computerised data on tape or disks, CD-ROM, DVD or Optical Disks.

The following are some examples of Corporate Records-

- Agendas (including appendices) and minutes of meetings of formally established University boards and committees;
- Agendas (including appendices) and minutes of meetings of ad hoc committees and working parties
- Students’ academic transcripts held electronically or in hard copy format;
- Decisions taken by employees under delegation which are recorded in memoranda, letters, email messages, reports etc.
- Financial transactions held electronically or in hard copy format;
- Personnel transactions (letters of appointment, reports on performance and other dealings between employees and the University);
- Course and Unit outlines
- Applications and other forms completed by students;
- Decisions conveyed to students by mail or electronically;
- Lectures’ grade lists and assignment mark lists held electronically or in hard copy;
- Research grant applications
- Contracts / Agreements
- Policies, Procedures and Guidelines created by the University

2 Vital Records

Vital Records are those corporate records that are identified as essential for the ongoing business of an organisation or business unit. These records contain information that is required to re-establish University business in the event of a disaster that destroys other records or closes down technological systems. Without these records the University could be at financial or legal risk or might not be able to continue to function effectively.

Vital Records ensure that specific rights and obligations accorded to the University are documented. These records may also protect the interests and assets as well as the clients and stakeholders of the University.

Examples are-

- Property leases and deeds
- IT hardware/software/maintenance agreements and licences

- Partnership agreements
- Contracts and Agreements
- Insurance Policies and Schedules
- Intellectual Property Agreements (Patents, Copyright etc)
- Any legal documentation where the original must be maintained according to law.
- Policies, Procedures and Guidelines created by the University

All Vital Records are corporate records. The original Vital Records must be captured into the corporate record keeping system (TRIM) and kept in a secure environment according to recognised standards.

3 When to capture a corporate record

If you answer yes to any of the questions below then the information should be captured into the corporate record keeping system:

- Is there a statutory requirement to make or keep particular records?
- Has a decision been made which sets a precedent?
- Are there any financial or legal implications that may come under scrutiny to ensure accountability?
- Do you require the record so as to be able to report to internal or external bodies?
- Has a decision been made which will impact on another individual, office or the University as a whole?
- Has a decision been made which needs or may need supporting evidence or a record of the decision/making processes?
- Will the record document a change to policy, procedure or methodology?
- Does the transaction have to be approved by a more senior officer, committee or specialist section?
- Is the record of interest or importance to others outside your immediate working environment?

It is always safer to capture information from its creation, rather than at a later stage. If a delay occurs quite often continuity is lost as sections of the story may be incomplete. This can hinder decision making processes especially if it affects other areas of the University. Our aim is to hold complete and accurate records regardless of where in the University they are housed.

Usually information will start its life enclosed on a generic file/folder until it “grows legs” of its own. The ideal file has the following features; the block of pages is no thicker than 2.5 cm; all the pages are of uniform size; all the pages are aligned; there is nothing on the file that is bigger than the cover; there are no folded items on the file.

Files are reviewed to identify issues that have developed to the point where a new file for the subset material is created. This reduces the amount of files/folders that need to be physically created, if required, and managed. It also helps when assessing the disposal or retention of the information. It is recommended that, if you do not have access to your area’s recordkeeping system, original documents are not handed loose

to officers, but are enclosed on a file and handed to the officer. This practice reduces the risk of the loss of the document.

4 Tools for managing a corporate record

To enable the University to manage its information more efficiently the following tools will become available to all areas of the University over time.

4.1 TRIM (Tower Records & Information Management)

TRIM is the corporate record keeping system of the University, which manages corporate information, both physical and electronic, from creation or receipt to destruction or archiving. Control processes include classification and document registration, correspondence management, file and action tracking, security and access, retention and disposal, and archiving.

4.2 Index

An index of all formal file listings should be held by each area to provide a tool for easy reference for the retrieval of information. An index is a systematically arranged list providing enough information to trace or locate an item by means of a number or code.

Included in the index should be: Subject, Date Range and Location of the information.

To provide uniformity to indexing across the University you should use the University Classification Scheme.

4.3 University Classification Scheme

To provide a consistent method of the classification of documents and files the University has adopted the Keyword AAA Functional Thesaurus as the basis for its classification system. By the use of controlled vocabulary this ensures that terms are used consistently, which facilitates searching, retrieval, disposal sentencing and reporting. The Thesaurus has been loaded into TRIM and is also available in hardcopy from the Records Management Unit. Please note that amendments made to the Thesaurus after the hardcopy is produced, while not reflected in the document, will be immediately updated in TRIM.

The following is an example of the structure of a file title that includes a Keyword, which describes the overall function that takes place to be followed by an activity descriptor, then a subject descriptor.

For Example

STRATEGIC MANAGEMENT – PLANNING – Strategic Plan

The Keywords are as outlined in **Appendix 2**.

The Archives Office of Tasmania provides training courses twice a year on Keyword AAA – Using a Keyword Thesaurus. See their website for more information <http://www.archives.tas.gov.au/govservice/training.htm>

4.4 Disposal Schedules

Disposal Schedules (sometimes called Disposal Authorities) identify the functions and activities, describe the type of records associated with each, and

prescribe a disposal action. Disposal actions range from permanent retention as an archive, to stipulating a minimum period of retention prior to destruction. You should list all scheduled items due for destruction, with the exception of the Disposal Schedule for Short-Term Value Records (DA2158), in a *Register of Records Destroyed*, as stipulated by the Archives Act, and forward a copy to the Manager, Records and Information. For items not covered by a Disposal Schedule, you should seek authorisation from the State Archivist before destruction can proceed. The Records Management Unit will develop a Functional Disposal Schedule for the University to incorporate records not covered in the current schedules.

The following schedules are applicable to the University:

Disposal Schedule for Common Administrative Functions Disposal Authorisation No. 2157 ([DA2157](#))

Disposal Schedule for Short-Term Value Records Disposal Authorisation No. 2158 ([DA2158](#))

Disposal Schedule for Temporary Value Source Records Disposal Authorisation No 2159 ([DA2159](#))

Disposal Schedule No 32 for Student Administration Records of the University of Tasmania ([DS32](#))

5 Record Formats

5.1 Paper Records

Paper is still the most popular type of format for records retained in the University. These may consist of paper documents enclosed in a manila file or file cover and should be kept in suitable storage mediums such as lateral filing cabinets.

5.2 Electronic Records

The University conducts much of its business electronically. It is therefore necessary to create and manage information in electronic format. Electronic transactions are no different from their paper counterparts in that they need to be recorded, captured in a fixed form, maintained and made accessible as records. Electronic records must remain available, accessible, retrievable and usable for as long as a business need exists, or as long as legislative, policy and archival requirements provide, whichever is longer

Systems and facilities should be secure from unauthorised access or modification and “irrecoverable loss of records and data” as a result. Error or equipment failure can result in deliberate or inadvertent corruption or deletion. Back up procedures should provide a security precaution against loss, corruption and unauthorised access.

Storage media should be tested regularly to check for degradation and information should be transferred to new storage media before loss of quality or technological obsolescence occurs.

As with paper documents, not all electronic documents are electronic records. For example a report that has not been signed off is not a record until authorisation takes place.

Those records of ongoing value which are created or received electronically, including word processed documents and electronic mail messages, should be captured into the corporate record keeping system (TRIM). For offices where TRIM has not yet been installed, you should print the document and attach to the relevant paper files or, at minimum, make a cross reference on the relevant paper files. Corporate documents should not be held on individual computers. Once electronic documents or emails are captured into the formal record keeping system they can be deleted from your machine. The disposal of electronic documents and electronic mail must be done in compliance with the Archives Act 1983.

5.3 Electronic Mail

Electronic records include electronic mail items which may need to be retrieved at a later time or which have been identified as constituting a record of the University's official work. The capture and management of Electronic Mail is outlined in the Archives Office of Tasmania Policy Guideline [Policy for the Management and Capture of Electronic Messages No 10](#)

Electronic mail records, whether printed or not, are treated as documents under the Freedom of Information Act and are “discoverable” in litigation. They also can be produced in court by subpoena and are subject to copyright, privacy and defamation legislation. In order to maintain their value as evidence, electronic mail messages must be inviolate. This requires that they are maintained in a system which prevents them from being altered or manipulated from their original state.

Emails of ongoing value are to be captured into the corporate record keeping system (TRIM). In offices where TRIM is not yet installed they must be printed and placed on the corporate file.

Ephemeral and routine messages that do not document significant business activities of the University may be deleted when no longer required by their creator or recipient. This is authorised in the Disposal Schedule for Short-Term Value Records Disposal Authorisation No. 2158. DA 2158 should be consulted for detailed information about the types of records that may be deleted. Examples are-

- messages that perform a similar function to an **informal** telephone call
- those containing **copies** of information for the recipient's interest
- notices or invitations to attend meetings or functions
- attachments which are **copies** of records if the original is retained within the organisation's record keeping system
- **copies** circulated for information only

Records of business activities may only be deleted if they are authorised for destruction by the State Archivist. These authorisations will usually be issued in ‘Disposal Schedules’ and will apply to records irrespective of their format.

5.4 Short-Term Value Records

These refer to Records of such short-term value that they do not support or contribute to the business functions of the organization. These may include:

- records of a trivial nature
- records which duplicate (or extract) information which is already held elsewhere
- records with little or no administrative, fiscal, evidential, cultural, or no known historical value.

Examples include-

- Notes and Calculations used solely in the preparation of other records such as correspondence, reports, budget documents, programs and tabulations
- Drafts of documents relating to matters of minor importance (Drafts which document matters such as rationale behind university policy and certain legal issues, and those drafts which are circulated for comment, should be incorporated into the recordkeeping system to adequately document the development of actions and initiatives).
- Copies made from records held elsewhere in the University in any format. These are duplicate minutes, agendas, computer printouts of information contained in an electronic recordkeeping system, copies of internal circulars, abstracts or copies of formal financial records maintained for convenient reference, reference copies of film, video, microfilm or microfiche
- Records and publications from outside sources that are kept solely for reference, such as invitations to functions, copies of other university annual reports, unsolicited promotional literature for goods and services, catalogues and published documents.
- Audio Recordings that are used in preparation of other records, or in preparation of minutes and transcripts of formal proceedings, not covered by any stipulation set by the University.
- Transmittal messages and other conversational documentation, which does not record business transactions of the university or formal communication between staff members. These may include: informal transmission messages on 'with compliments' slips; email and facsimile cover notes; facsimile or telephone messages of a routine or trivial nature; and informal email.
- Appointment diaries and meeting schedules which may be maintained on electronic systems that do not record significant matters such as notes of discussions and meetings, case notes etc.
- Copies of personal documents, and documents containing personal information, acquired by the university which are not required on a continuing basis to support the business transactions to which they relate - such as copies of birth certificates, drivers' licences, marriage certificates, copies of references, copies of qualifications, change of address notices.

Copies of original records may be destroyed after administrative usefulness only if the original record is still known to exist. It is the responsibility of all staff to ensure the original record exists before copies are destroyed.

Annotations, notes or amendments made on copies are not encouraged as this may cause the copy to be an original record which therefore cannot be destroyed unless in accordance with the provisions of the Retention and Disposal Authorities.

In offices where access to TRIM is available the Notes field should be utilised for annotations or notes relating to that document. A new version should be created for amendments if creating a new record.

5.5 Facsimile Transmissions

In offices where thermal fax machines are or were installed, copies must be made on good quality paper for the purposes of long-term retention, due to thermal paper being highly unstable. Files that are to be retained permanently must be checked for thermal paper before transfer to secondary storage or the Archives Office Repository.

When the original letter is received, the fax may be superseded. It may be noted on the original (or in the notes field in TRIM) that the fax was received, including date and time, and the fax may be destroyed.

5.6 Web Sites

The web is not a record keeping system as it only retains the information for the period it is published. University web sites have similar retention rules as for publications and as such, must be maintained and preserved. Information published on the web such as policy, procedures and guidelines must be captured into the corporate recordkeeping system (TRIM).

5.7 Distribution and Publication of Electronic Records

The distribution and publication of electronic records must be conducted in accordance with the "[Copyright](#)" and "[Intellectual Property](#)" policies and procedures of the University of Tasmania.

6 Access to Records

All officers can access the majority of records created by the University. There may be specific legislation and policies that govern accessibility of some information. There are guidelines in place for Privacy, Security, Freedom of Information and Archives Acts. Records that may contain personal, commercial or operationally sensitive information will have restricted access or no access permitted.

All University records made by any staff member of the University in the course of her or his duties are considered to be confidential and must not be divulged or released to unauthorised persons without authorisation from the staff member's supervisor or the Manager, Records and Information.

Release of personal information relating to staff or students is only permissible in compliance with established University policies and guidelines, as set out in the Privacy Policy, [Human Resource Manual](#) and [Student Handbook](#)

Staff members are required to use discretion in regard to the divulgence or release of ephemeral information. If in doubt, staff members must consult their Supervisor or the Manager, Records and Information.

6.1 Circulation of Files and Documents

- (i) Official files are not to be sent out or taken off campus. Copies should be made for this purpose and identified as such. Where original records are required, (eg. for legal matters in the case of litigation) the Manager, Records and Information should be advised before the records leave the University, to ensure appropriate record tracking can be completed and follow ups for return of files can be made.
- (ii) Official documents that form part of the University's record must not be placed in unofficial or private record systems by staff. All such documents should be captured into the corporate recordkeeping system (TRIM) and/or retained within the Department or the Division official records management systems.

6.2 Access to Archived Records held at the Archives Office of Tasmania Repository

Administrative Records created by the University were previously located in the Morris Miller Library Special Collection area. These have now been transferred to the Archives Office of Tasmania Repository located at Berriedale. The majority of information held is over 25 years old and has been appraised as having a permanent value.

Records held at the Archives Office of Tasmania Repository can be accessed through the Records Management Office. If the records are over 25 years old they can be accessed directly through the [Archives Office of Tasmania](#).

When making requests the following information should be provided:

- Name of Agency/Division/Branch
- Requesting Officer's details (name, phone and fax numbers and email address)
- Collection details
- Item/s required (file number, file title, document title etc.)
- Series number/s (should be provided where possible)

The series number can be found on the University's copy of the Accession Record, which lists the records transferred to the Archives Office. For records that have not an Accession reference, authorisation will have to be obtained from the Manager, Records and Information.

7 Security and Storage

All University Records, including Research records and data, must be appropriately protected at all times from unauthorised access, damage and loss.

Where possible, all records storage areas, such as the Records Management Unit, are to be secure areas with access only provided to authorised personnel. Staff are not permitted to access records for which they have no authorisation.

Where a secure storage area is unavailable, all University physical records should be stored in lockable shelving units to prevent unauthorised access when offices are unattended during the day or after hours.

Staff must ensure shelving units are locked appropriately when leaving offices unattended.

Records must be stored in conditions that ensure they are accessible and retrievable in appropriate timeliness for the length of time they are retained.

Records should be stored in conditions that take into account their physical characteristics, sensitivity, retention period and expected access rate. Refer to the Section on **Preservation / Protection of Records**

Storage facilities used (including those provided by commercial service providers) must comply with occupational health and safety guidelines as adopted by the University.

Arrangements to store University Records in premises that are not owned or leased by the University must have formal approval from the Executive Director, Finance and Administration and the State Archivist under section 20 (2) (b) of the *Archives Act* for the transfer of custody of the records involved. Guidelines are set out [Guidelines For Storage of State Records in Non-Agency Facilities](#)

8 Preservation / Protection of Records

Records appraised as permanent or require long term retention, need to be kept in a more stable environment.

Storage conditions and handling processes should ensure that as far as possible records are protected from unauthorised access, loss, destruction, and from theft and disaster.

Major causes of deterioration of records in their various formats are light, heat and humidity, handling, mould and pest infestation. Most of these factors can be avoided by controlling the environment in which records are stored-

- Storage areas to be kept free of dust by regular cleaning.
- Regular inspections for pest infestation and fumigated as required.
- Paper records should ideally be stored in areas that do not have great fluctuations of temperature or humidity. An acceptable temperature range for paper is 18-20° C with a relative humidity between 45-50%. Magnetic media such as tape, floppy or hard disks recommended temperature is the same as for paper but the humidity is 35-45%. Photographs require a temperature range 18-22° C with a relative humidity of 45-55%.
- Records should not be placed in direct sunlight.
- Metal clips/fasteners are not recommended as they have a tendency to rust over time.
- Care should be taken at all times when dealing with records.

- Storage areas should be selected that have plenty of ventilation and no damp.
- Damage to the immediate area such as cracks in walls, floors or ceilings should be repaired promptly.
- Quality of the paper for records of a permanent value should be considered. Cheaper papers tend to contain a higher acid content, which reduces the life expectancy of the paper. Recycled paper has a retention period of approximately 10 years. Permanent or Archival paper is available and recommended for records requiring permanent retention.
- Archives boxes are produced from an archival corrugated board. This board, which is blue/grey in colour, is acid free and made to high standards of strength and permanence set by the Archives Office. These boxes are available in many sizes but be aware that Type 1 (17x25x38) is the preferred option by the Archives Office of Tasmania. For temporary paper records craft board archive boxes may be used, old reflex boxes are not suitable.
- Master Sets of Maps and Drawings should be ideally stored in purpose built Hanging Cabinets.
- A4 Ring Binders are not suitable for long term retention, items may be transferred by the Liftboy system.

Storing audiovisual records such as, microfilm, microfiche, photographs, magnetic tapes and floppy and hard disks require more specialist treatment than that required for paper records.

See **Appendix 1** for recommended medium.

If records of value need conservation, advice can be sought from the Archives Office of Tasmania Conservation Section.

9 Disposal and Destruction of Records

The Manager, Records & Information is the nominated first point of contact for the Archives Office of Tasmania. If you are dealing with the Archives Office directly it would be appreciated that a copy of any correspondence generated, be forwarded to the Manager, Records & Information.

Records and information created by staff members of the University are subject to compliance with the *Archives Act 1983*, because the University is a creature of State legislation (*University of Tasmania Act 1992*). Any record created by the University is therefore classed as a State Record as defined by the *Archives Act 1983*.

The *Archives Act 1983* provides that an employee of the University, or any other person, must not dispose of records of any type without the written authority of the State Archivist.

E-mail and other electronic records (records communicated or maintained by means of electronic equipment) are clearly covered by the definition of records contained in the *Archives Act 1983*. Electronic records must be included in the systematic evaluation of all university records. It is the responsibility of officers to ensure that

any electronic records having continued value for administration or for longer term research are preserved.

Technology enables records created in one media to be copied or converted to another medium requiring less storage space and allowing better access (e.g. paper copied to microfilm or converted to electronic format). As there are some legal and archival restraints on the destruction of original documents after conversion, the destruction of the original can only proceed if a formal request has been made to the State Archivist and an authorisation issued under Section 20 of the *Archives Act 1983*. An example of this is where student records are placed in the student database. The database has a permanent retention, but the State Archivist has approved destruction of the originating documentation after an initial holding time.

Permanent records should be transferred to the Archives Office when administrative use ceases. Records that have been in existence for more than 25 years should be made available for transfer to the Archives Office, unless a written exemption has been obtained from the State Archivist. (The university previously had an exemption from this requirement, but since we no longer have a Senior Archivist in the Library the exemption has been rescinded.)

Temporary records can be destroyed following the expiry of retention periods specified in Disposal Schedules, or by obtaining a destruction authority from the State Archivist. See 9.1 for Methods of Disposal. Temporary records can be retained by the agency until they are no longer required for administrative purposes, but the provisions of the Archives Act regarding their proper care and custody still apply.

Public access to State records may be restricted by the University usually for a period of up to 25 years. Records which deal specifically with people, where there may be a need to protect privacy, may be restricted for a period of up to 75 years. Access restrictions are determined by the university and indicated to the Archives Office when the Application to Dispose of State Records is completed.

Section 19 (1) of the *Archives Act 1983* permits State records transferred to the Archives Office for permanent retention to be made available for use by or at the direction of the university.

The transfer of State records into the custody of individuals or organisations outside the direct control of the University must be authorised by the State Archivist through the Manager, Records and Information. Transfers requiring authorisation include the transfer of university records to commercial storage facilities, or to storage facilities that are located on premises not controlled by the University.

Initial authorisation is to be obtained from the Executive Director, Finance and Administration for these records to be stored off site. Additional approval is to be sought from the State Archivist through the Records Management Unit for the transfer of custody of the records. The University of Tasmania will retain ownership of the records.

Approval decisions will generally be based on an assessment of both the standards of storage and the nature of the records involved. Approval will usually only be given in relation to records that are covered by a current Disposal Schedule and have been identified as temporary records.

9.1 Methods of Disposal

Records that have been approved for destruction, under the relevant schedule or authority, should be shredded or pulped. The University may make arrangements for the destruction of records with an appropriate contractor. In this case, it is the responsibility of the Authorised Officer (Head of Section/Faculty/School) to ensure that the destruction is undertaken with due regard to confidentiality and security.

9.1.1 Paper

Depending on the degree of confidentiality and the volume of material, three methods are available for the disposal of records.

- (a) The records may be placed in large containers supplied by a commercial firm for security shredding.
- (b) Individual sheets may be passed through a paper shredder.
- (c) Ephemeral material may be recycled by pulping or normal waste disposal processes depending on amount.

Depending on the degree of confidentiality, one or more of these methods may be employed for security.

9.1.2 Electronic

When deleting electronic records, staff will need to ensure that information is wiped clean or physically destroyed. Deleting records in some programs does not actually remove the information. Most operating systems do not erase deleted information from hard disks but simply remove the file names from the directory and eventually write over the unwanted information.

Hard disks of computers and other magnetic media should be reformatted to ensure the data is removed before computers are disposed of.

10 Freedom of Information

10.1 Disposal of Records with regard to the *Freedom of Information Act 1992*

The University will not be contravening the terms of the Freedom of Information Act 1992 by destroying records according to the approved Retention and Disposal Authority.

Disposal lists are to be provided to the University Freedom of Information Officer before destruction commences to ensure no outstanding action is required on those records.

10.2 Retention of Records for Freedom of Information Purposes

If an application made under the *Freedom of Information Act 1992* has been received and is still being considered or is subject to internal or external review processes for which the time limits have not expired, the relevant records must be retained until the application has been finalised. If records are

retained beyond their retention period, and are still in existence when an FOI application is received, the University will have to produce those documents.

10.3 Access to Archived Records

Records archived under the terms of the *Archive Act 1983* will be accessible for Freedom of Information purposes, subject to the terms of access contained within the *Freedom of Information Act 1992*, Section 10(1).

11 Privacy

The records will be managed in compliance with the **University Privacy Policy** and access and security guidelines as set in this document.

12 Records Management Office Manual and Guidelines

All relevant procedures relating to the management of current and inactive records and the disposal and transfer of records are contained in manuals and guidelines available from the Records Management Office.

Appendix 1

Recommended Medium for holding physical paper records

File Covers: Quality heavyweight manilla board in white or buff Recommended size - 388x240mm - use of Reinforced colour tabs is recommended to identify originating area/division/section.

Tabs – Lateral File fasteners Tubeclips/Mediclips – makes viewing, adding, removing and photocopying contents of the file easier

Alpha & Numeric Colour coded labels – these identify misfiles if and when they occur

Outguides – keep track of files and hold loose papers for when the file is returned

File racks/ Toaster Racks – support files to keep them upright and together in the file cabinet

Open Bay or Lockable Lateral Shelving Unit

Archive Boxes - Permanent Records will need to be placed in Type 1 (17x25x38cm) Acid Free (blue/grey in colour)

Archive Boxes - Temporary Records can be kept in Type 1 (17x25x38cm) Craft Board Boxes (brown)

Liftboys Screwbinder and accessories (handy for transferring records out of A4 Ring Binders)

Appendix 2

ACADEMIC COOPERATION

The function of negotiating and administering agreements and relationships, both formal and informal, between departments, faculties, schools, colleges and universities and their equivalents (domestic and international), for the exchange of information, expertise, staff research workers or students, and for general cooperation or joint education projects in fields of mutual interest and benefit, with the implicit intention that contact and collaboration should continue. Includes accreditation of courses offered by other institutions and conducting of joint education programs, as well as accreditation of courses at other institutions to assess their suitability for study by University of Tasmania students. Also includes exchange of information of a general nature between educational institutions and the activities of the Australian Vice Chancellors Committee (AVCC) not covered by more specific keywords.

COMMUNITY RELATIONS

The function of establishing rapport with the community and raising and maintaining the organisation's broad public profile. Includes marketing, advertising, media liaison, exhibitions, celebrations, ceremonies, speeches, official representation at functions and participation in community activities. Also includes relationships with professional bodies and industry, the management of customer services, handling reactions to those services, customer consultation and feedback.

COMPENSATION

The function of providing compensation to personnel and visitors injured while proceeding to or from work, during working hours or on the organisation's premises. Includes the rehabilitation of injured workers and compensation for damage to property where such damage is claimed as the organisation's responsibility.

COURSES, DEGREES & DIPLOMAS

The function of developing and implementing policies and procedures relating to degrees and diplomas conferred by the University of Tasmania and developing and providing courses of instruction leading to the award of degree or diploma. Includes accreditation of courses conducted by other universities for the purpose of recognising advanced standing for students wishing to study at the University of Tasmania. Includes University of Tasmania course proposals, examinations, external studies, awards and prizes, grant funding such as scholarships and fellowships, admissions to a degree or diploma of the University and graduation ceremonies, including conferring of Honorary Degrees and administrative arrangements relating to degree and diploma certificates. Also includes information relating to retention and participation rates in post compulsory and higher education.

CULTURAL PRESERVATION

The function of preserving the culture of society by academic institutions through management of collections in repositories such as museums, libraries, archives and galleries. Includes acquisition and donation of artworks and collections, exhibitions and displays, loan of artworks, storage and preservation, and collection management.

EQUIPMENT & STORES

The function of acquiring, supplying, maintaining, repairing and disposing of equipment and stores stocked and used by the organisation. Items of equipment include instruments, implements, tools, machines, plant, furniture and furnishings. Stores include chemicals, hardware, homeware items, kitchen/cleaning items, medical supplies and stationary.

ESTABLISHMENT

The function of establishing and changing the organisational structure through establishing and reviewing positions. Includes classification and grading of positions and the preparation of organisational charts.

FINANCIAL MANAGEMENT

The function of managing the organisation's financial resources. Includes establishing, operating and maintaining accounting systems, controls and procedures, financial planning, framing budgets and budget submissions, obtaining grants, managing funds in the form of allocations from the Consolidated Fund and revenue from charging, trading and investments. Also includes the monitoring and analysis of assets to assist the delivery of economic and social services to government, industry and the community.

FLEET MANAGEMENT

The function of acquiring, managing, maintaining, repairing and disposing of vehicles. Vehicles are any means of conveyance owned or used by the organisation to transport people or items.

GOVERNMENT RELATIONS

The function of administering the formal relationship between the organisation and those processes of government not covered by other general administrative or functional keywords. Includes the organisation's relationship with Ministers and Members of Parliament and the political processes of Government; liaison with bodies carrying out investigations and participating in formal inquiries and investigations such as Royal Commissions, and inquiries by Parliamentary Committees and the Ombudsman; and relationships with other Local, State, Commonwealth or overseas governments.

This keyword is NOT designed to cover regular ongoing contact between government agencies, which should be classified under the relevant keyword.

INDEPENDENT & COMMERCIAL OPERATIONS

The function of managing the University's commercial business activities, both those operating independently of, and those reliant on, either full or partial funding from the University. Includes University Business Enterprises (UBE's), such as Campus Computers, Transport Unit, Reprographics Unit, Child Care Centres, Non Award Courses, University Farm, Sport & Recreation Centre and University Colleges. Includes other commercial activities such as staff clubs, graduate organisations, convention management and venue hire, continuing education, parking. Also includes

trading activities undertaken by student organisations such as food and beverage outlets, shops, Post Offices etc.

INDUSTRIAL RELATIONS

The function of establishing formal relations with the organisation's employees and their representatives to achieve a harmonious workplace. Includes negotiations conducted to obtain determinations, agreements or awards, industrial disputes settled within the organisation or by an external arbitrator and reports of the state of industrial relations within the organisation.

INFORMATION MANAGEMENT

The function of managing the organisation's information resources. Includes creating, capturing, registering, classifying, indexing, storing, retrieving and disposing of records and developing strategies to manage records. Also includes the acquisition, control and disposal of library and other information products, items kept for reference purposes, and the provision of service to internal and external customers, based on information resources. Data administration, archival records and the handling of Freedom of Information (FOI) requests are also classified under this keyword.

LEGAL SERVICES

The function of providing legal services to the organisation. Includes the interpretation and provision of advice to the organisation regarding legal matters, the drawing up of legal agreements and the handling of legal action and disputes. Also includes legal advice received from in-house consultants and external sources including the Crown Solicitor's Office.

OCCUPATIONAL HEALTH & SAFETY

The function of implementing and coordinating occupational health and safety and associated legislation throughout the organisation. Includes safety policy and the monitoring of safe work practices, procedures, and preventative measures. Includes the establishment of committees to investigate and advise on health and safety issues in the workplace.

PERSONNEL

The function of managing all employees in the organisation. Employees include Ministerial, permanent, temporary, and part-time employees, people working under scholarships, traineeships, apprenticeships and similar relationships. Includes appeals, overtime, salaries, superannuation and working hours when related to persons rather than to Industrial Relations. Also includes arrangements for staff travel and the provision of childcare by the organisation.

PROPERTY MANAGEMENT

The function of managing land and working, storage, or living space within premises, and of acquiring, constructing, fitting-out, managing, maintaining, protecting, and disposing of property. Includes buildings and land allotments either owned, rented or leased by the organisation, such as office blocks, repositories, and workshops. Also includes the removal of pollutants and waste.

PUBLICATION

The function of having works, irrespective of format, issued for sale or distribution internally or to the public. Includes drafting, manual or electronic production (design, layout, typesetting, printing etc.), marketing, and supply of publications by the organisation. Includes external publications (such as technical papers, issue papers, articles for professional journals and reports) and leaflets which aim to promote the services and public image of the organisation; and internal publications (such as newsletters, circulars, procedure manuals etc.) which are not produced for public relations reasons. Also includes multi-media publications, CD ROM and on-line information services.

RESEARCH & DEVELOPMENT

The function, by University staff, of conducting research which is funded by internal or external grants, and directed towards the innovation, introduction and improvement of products and processes and increasing of knowledge; as well as the provision of consultancy advice on a fee for service basis, and the fostering of partnership arrangements between the University of Tasmania, industry, business and the State Government. Includes provision of advice to students and staff on policy related to research and teaching activities which involve human subjects or the use of vertebrate animals and the ethics involved in such research; the provision of advice; marketing of services to secure new business opportunities; negotiation with clients, management of tenders, lodgement of consultancy documents; preparation and delivery of reports and assessment of research with commercialisation potential. Also includes management of research data; supervision of research projects and publication of results.

STAFF DEVELOPMENT

The function of encouraging staff to develop their skills and abilities (through activities, programs and events) to maximise their potential and increase their productivity. Includes identifying and implementing all aspects of training needs and programs (internal and external) available to staff.

STRATEGIC MANAGEMENT

The function of applying broad systematic management planning for the organisation. Includes the activities involved with the development, monitoring, and reviewing of business plans, strategic plans, work plans, corporate plans, Equal Employment Opportunity (EEO) plans, Ethnic Affairs Policy Statements (EAPS) and agreements, energy and waste management plans and other long-term organisational strategies. Includes the development of the corporate mission, objectives, continuous improvement processes, quality assurance and certification, and the formulation and amendment of legislation which provides the legislative basis for the organisation. Also includes administration and governance of the University of Tasmania.

STUDENT ADMINISTRATION & SERVICES

The function of managing the admission and enrolment of students, both Australian and International, to the University and provision of a range of student services. Includes discipline, grievances, student associations, advice, counselling, student accommodation, exchange programs, fees and charges, financial assistance, employment, health promotion, recruitment of students locally, nationally and

internationally and marketing of the University. Also includes policies and procedures for student administration and services.

TECHNOLOGY & TELECOMMUNICATIONS

The function of developing or acquiring, testing and implementing applications and databases to support the business needs of the organisation to capture, store, retrieve, transfer, communicate and disseminate information through automated systems. Includes the evaluation of software and hardware and the acquisition, tendering, leasing, licensing, and disposal of systems. Also includes communication network systems such as videoconferencing, voice mail and electronic mail and the technical aspects of the Internet, Intranet and Web Sites.

These Guidelines accompany the University of Tasmania Records Management Policy that was approved by the Executive Director, Finance and Administration on 10 October 2003

Mr Tony Ferrall
Executive Director, Finance and Administration

Date