

Information Management Procedure

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Purpose

This procedure describes how to comply with of the University’s recordkeeping requirements in accordance with the *Archives Act 1983 (Tas)* and University governance.

Applicable governance instruments

Instrument	Section	Principles
<i>Data and Information Governance Policy</i>	1 Privacy 4 Data and information management	1.1 – 1.7 4.1 – 4.4
<i>Compliance Policy</i>	4 Access to information and disclosures	4.1 – 4.2
<i>Research Policy</i>	4 Research data and output	4.1 - 4.2
<i>Archives Act 1983 (Tas)</i>		
<i>Right to Information Act 2009 (Tas)</i>		
<i>Privacy Act 1988 (Cth)</i>		
<i>Personal Information Protection Act 2004 (Tas)</i>		

Procedure

1. Records and information management

- 1.1. The Vice-Chancellor and the University Executive Team have overall responsibility for ensuring the University fulfils its legal and business obligations regarding information management.
- 1.2. Ownership of all University business records and information is vested in the University. Any change to custody must be undertaken in consultation with Office of the State Archivist (OSA).
- 1.3. All University records and information, excepting short term or records of transitory value, will be captured in a compliant Electronic Document and Records Management System or compliant University supported business system. The system used will have regard for the information lifecycle and minimum retention periods provided in the authorised retention and disposal schedules.
- 1.4. All business information systems will be assessed to ensure that the system meets the requirements of a compliant recordkeeping system. Recordkeeping systems within the University will:
 - a. preserve complete and fixed impressions of records;
 - b. register records and their associated metadata;
 - c. protect records and metadata from deletion and/or tampering;
 - d. secure and restrict access to records;
 - e. provide an audit trail and revision history for records and their metadata; and
 - f. ensure records remain accessible over time.

Instructions can be found at: [Checklist for assessing business information systems](#) and the [Staff Recordkeeping Manual – Recordkeeping Systems](#).

- 1.5. All University contracts and agreements, where the University is a signatory participant, will be created, captured, securely stored, accessed, retained and disposed of in accordance with [Staff Recordkeeping Manual – University Contract Recordkeeping](#) instructions.

2. Education and training

- 2.1. All employees, contractors, consultants and volunteers will make and keep full and accurate records of business activities they undertake in the course of their employment. Obligations are outlined in the [Staff Recordkeeping Manual – Recordkeeping Responsibilities](#).
- 2.2. New employees will undertake the [Recordkeeping at the University of Tasmania online tutorials](#) as part of their induction.
- 2.3. Heads of organisational units will ensure employees are equipped to establish and resource appropriate recordkeeping and are responsible for disposal of records in accordance with authorised disposal schedules, and certification of entries made in each of the business units' Register of Records Destroyed.
- 2.4. Support, education and training material can be found at: [Information Management](#) and [Service Portal Tips and Tricks](#).

Requests for assistance relating to records and information can be made at:

- Service Portal > Information Management
- IMU.Staff@utas.edu.au

3. Access to information and records

- 3.1. Records and information will be accessible for as long as required to meet accountability, legal, administrative, financial, research and community requirements and expectations.
- 3.2. Where required by regulatory compliance instruments and business requirements, including senior management directive, access restrictions will be applied to selected records and information to protect an individual's privacy or to protect the University's interests.
- 3.3. The Data, Information Management and Cyber Security Committee oversees information governance at the university and ensures that information assets are formally, proactively and efficiently managed to meet strategic objectives and manage risks associated with information management.
- 3.4. Security classifications will be applied to records and information to identify appropriate requirements for accessibility and storage requirements. Instructions are outlined in the [Staff Recordkeeping Manual – Security and Access of Information](#).
- 3.5. Sharing of research outputs, including research data will be managed in accordance with the Management of Research Data Procedure.
- 3.6. Information held by the University may be accessed by informal or formal request.
- 3.7. Where information is sought by way of assessed disclosure under the *Right to Information Act 2009 (Tas)* the University may exercise its right not to disclose the requested information, subject to the limitations of the legislation. In this case an authorised delegate (Right to Information Officer) must make this assessment.
- 3.8. Further Information concerning access or [Right to Information](#) is available from the University's website.

4. Classification and metadata

- 4.1. University records and information owners will use tools and/or schemas based on business requirements to identify, find, retrieve, provide access to, manage, protect, share, retain and dispose of records and information.
- 4.2. The University's [Business Classification Scheme](#) (BCS) is based on the functional activities of the University and is directly linked to the authorised Retention and Disposal Schedules. The BCS is integrated with the University Electronic Document and Records Management System, Content Manager (TRIM), and can be extended effectively to an intranet, extranet, network drive folders, email folders, and/or other personal and workgroup systems.
- 4.3. Naming conventions and titling of records and information must be consistent and conform to industry metadata standards or the University's [Data Entry Standards](#).

5. Storage

- 5.1. Physical and electronic information must be stored in repositories that are applicable to the format and security classification associated with the content of the information. University storage

repositories must be compliant with those standards and guides issued by the State Archivist and instructions listed in the [Staff Recordkeeping Manual – Storage Areas](#).

- 5.2. Off-site commercial storage facilities used to store inactive records and information must be certified by the Office of the State Archivist. All inactive records must be listed in a [Register of Inactive Records](#) prior to transfer to assist retrieval.
- 5.3. A risk assessment must be undertaken when choosing to utilise [Cloud](#) solutions for the storage of electronic records and information, to ensure compliance with all legislative and business requirements.

6. Retention and disposal

- 6.1. In accordance with the *Archives Act 1983*, University records and information are not to be destroyed without authorisation from the State Archivist.
- 6.2. All organisational units will use relevant authorised Retention and Disposal Schedules for the purposes of appraisal, retention and disposal of University records and information, irrespective of format and storage location. These authorities are accessible from the [Information Management – Retention and Disposal Schedules](#).
- 6.3. Changes to legislation, standards or business processes impacting on minimum retention requirements stipulated in current University Disposal Schedules must be communicated to the Information Management Unit (IMU) to ensure schedules remain appropriate for the University.
- 6.4. Organisational units are required to undertake an annual review of their records and information to identify University records and information eligible for disposal, transfer or destruction.
- 6.5. Records and information of ephemeral / short term value may be destroyed in accordance with normal administrative practice outlined in the [Staff Recordkeeping Manual – Ephemeral Records](#). Submit a [Records Disposal Audit - Nil Return](#) to IMU if there have not been any records and information destroyed during the year.
- 6.6. All University records and information of temporary value (with the exception of ephemeral / short-term value records) having met their minimum retention requirements will be listed in a [Request for Destruction form](#) and submitted to IMU **prior** to destruction.
- 6.7. All University records that have a permanent value and are identified as requiring transfer as a State Record must be transferred no later than 25 years after their creation or authorisation was sought from the State Archivist to retain the records. For further information's see [Staff Recordkeeping Manual – Transferring Records](#).
- 6.8. The approved [Register of Records Destroyed](#) will be retained for audit, legal and other business needs in accordance with the authorised Retention and Disposal Schedules.
- 6.9. Matters requiring interpretation of the relevant Retention and Disposal Schedules will be referred to IMU for investigation and advice.
- 6.10. Destruction of hardcopy and digital records and information will be undertaken in accordance with instructions outlined in the [Staff Recordkeeping Manual – Destroying Records](#).
- 6.11. Source records and information that have been copied, converted or migrated from one format to another will be managed in accordance with requirements stipulated in [DA 2159 – Disposal Schedule for Source Records](#).
- 6.12. Decommissioning or migration of business applications / systems will be undertaken in consultation with the Office of the State Archivist to ensure information contained in the system is retained in accordance with minimum retention requirements. Business system owners will liaise with IMU

and complete the [Decommissioning Business Information Systems Checklist](#) prior to migration or decommissioning of the system.

- 6.13. The University is legally required to submit any publications (physical or electronic) it publishes if sold or otherwise distributed to the public for legal deposit with Libraries Tasmania and the National Library of Australia. Instructions can be found in the [Staff Recordkeeping Manual – Legal Deposit of Publications](#).

7. Digitisation and disposal of physical source records

- 7.1. Physical source records meeting the requirements set out in the regulatory compliance instruments and the current Retention and Disposal Schedule authority, will be eligible for early destruction after scanning into a compliant recordkeeping system or a University supported business system.
- 7.2. A digitisation plan is required to demonstrate a considered approach to meeting conditions and requirements. Refer to the [Staff Recordkeeping Manual – Scanning Records](#) for instructions.

8. Records affected by disaster or malicious attack

- 8.1. The University will notify the State Archivist and complete an incident report whenever records and information have been damaged, lost or partially lost due to disaster such as flood, fire, cybersecurity, or malicious attack. Instructions can be found in the [Staff Recordkeeping Manual – Reporting Data Breaches / Incidents](#), including reporting of privacy and cybersecurity breaches.

9. Non-compliance with the Archives Act

- 9.1. Non-compliance with the Archives Act must be reported through to the University's Compliance team and registered on the Non-Compliance Register. Non-compliances are then reported to the Audit and Risk Committee.

Related procedures

Management of Research Data Procedure

Open Access Procedure

HDR Thesis Preparation Submission and Examination Procedure

Versions

Version	Action	Approval Authority	Responsible Officer/s	Approval Date
Version 1	Approved	Chief Operating Officer	Chief Information Officer	10 June 2021

Definitions

[Information Management Glossary](#)