



## Records Management Guidelines

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## LEGISLATIVE OBLIGATIONS

The University of Tasmania is a statutory authority of the State of Tasmania. The University has specific or implied requirements for recordkeeping. These may be further extended by related financial and administrative legislation which requires UTAS employees to be accountable for their actions.

There are a large number of Acts which apply to the University, some that are specific to recordkeeping requirements include:

- University of Tasmania Act 1992
- Archives Act 1983
- Freedom of Information Act 1991
- Personal information Protection Act 2004
- Evidence Act 2001
- Electronic Transactions Act 2000
- Limitation Act 1974
- Financial Management & Audit Act 1990

These Acts and others, govern what information must be kept, how that information must be managed and when and how the information may be disposed of. Penalties may apply for failure to comply with these requirements.

Specific information relating to the requirement of each Act may be found in **Appendix 1 – Legislative Obligations**.

## MANAGING RECORDS

### ***Who Owns University Records?***

The University owns all records created and received by individual employees as part of their day to day business. This includes research data, teaching materials and correspondence.

### ***Who Manages University Records?***

The majority of University records are managed by the various business units of the University that deal with the contents or subject matter of the records. For example, Human Resources retain and manage all staff records, Student Administration & Services are responsible for all student records.

The Records Management Unit centrally manages records that are created and received by nominated areas of the University Senior Executive and administrative areas which include legal agreements, contracts and other business documents.

### ***Who is Responsible for University Records?***

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

Staff should be aware that a breach in their responsibilities could result in a breach of the Archives Act 1983 and lead to possible prosecution, which may incur a \$5000 fine per

breach. An example of a breach would be the premature destruction of records prior to their recommended retention period itemised in a disposal authority.

Managers and Heads of business units are required to establish and set up appropriate record keeping systems to facilitate the collation and registration of University records. Heads of business units are to ensure that their staff members have a clear understanding of the 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.

Senior Management is responsible for the approval of record keeping policies and ensuring that adequate resources are available for managing and maintaining University records.

The Manager, Records & Information is responsible for issuing guidelines, education, training and advice to assist areas to conform to the requirements for university recordkeeping.

The Records Management Unit is responsible for providing a central record keeping system for nominated areas of the University, which include the Vice Chancellor's Office, Pro Vice Chancellor (Research), Executive Director, Finance & Administration Office, and Governance & Legal.

ITR is responsible for maintaining the databases and systems on which records and information is stored.

## **IDENTIFYING RECORDKEEPING REQUIREMENTS**

There are three main types of recordkeeping requirements:

- regulatory (or 'accountability' or 'legislative') requirements
- business (or 'operational') requirements
- stakeholder (government and public) expectations.

Recordkeeping requirements may be stated explicitly in laws, regulations and other instruments of authority, or may be implied by the environments in which the University operates.

They will refer to specific needs for evidence. For example, a requirement may state the need for:

- the *creation* of a record
- its *retention* for a specified period
- its *disposal*
- *access* conditions
- the *content* of the record
- the *form* it should be in
- aspects relating to *quality* that it is a 'proper' record

### **What is a Record?**

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”.

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 University records -

- Agendas (including appendices) and minutes of meetings of formally established University boards and committees including 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 via email systems
- Lecturers’ 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.

### **When Does a Document Become a Record?**

Not all documents/information are identified as a ‘record’. A document becomes a record at the point in its lifetime when it is:

- sent to others for comment, advice or approval;
- defines a decision making process;
- or contains evidence of business activities.

Some information such as emails, depending on value of content, are records automatically, because they are transmitted between individuals in the course of business. However, not all records will have long term value and therefore may not be necessary to keep over time.

### **Determining Which Records to Capture**

The importance of a record is not always apparent when it is first created. If you answer yes to any of the questions below then the information is to be considered as a record and captured into a formal 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?
- Are you the author of this information?
- 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?

### ***When to Capture a Record***

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 and have the knowledge of their existence and who holds them and the tools to be able to retrieve these records regardless of where in the University they are created or housed.

## **TYPES OF RECORDS**

### ***Vital Records***

Vital Records are those records that are identified as essential for the ongoing business of the University. 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
- Contracts and Agreements including Partnership agreements
- Insurance Policies and Schedules
- Intellectual Property Agreements (Patents, Copyright etc)
- Any legal documentation where the original must be maintained according to law.
- Research grants
- Student records – enrolment & progression
- Policies, Procedures and Guidelines created by the University

The original vital records must be captured into a formal record keeping system (TRIM) and kept in a secure environment according to recognised standards. In some instances it is advisable to store the original documents off site and ensure that electronic documents are backed up regularly and stored off site.

## **Correspondence**

Correspondence may be delivered and sent by various means including Australia Post, courier, facsimile, email or by hand. All business correspondence, i.e. addressed to University officers or box numbers, should be registered into a recordkeeping system to enable tracking, easy retrieval and provide evidence that the record exists, was received and action has taken place.

### **Business Correspondence (Records)**

All documents created, received, maintained or dispatched by University staff in the course of business are official records and should be registered into a formal recordkeeping system. Key data (metadata) should be captured immediately on receipt of incoming or prior to dispatch of outgoing correspondence. This includes:

- A brief title
- Date the document was created/signed
- Date the document was received/despached
- The author
- The addressee
- Format
- Security requirements
- Current location
- Home location
- Required action

### **Ephemeral (Short Term Value) Correspondence**

Ephemeral or Short-term value correspondence is correspondence which is used to facilitate University business but is of a trivial nature or of such short-term value that it does not support or contribute to the business functions of the University. Some short-term value correspondence may not need to be saved into a recordkeeping system, but be retained on a share drive/folder until no longer needed.

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 include 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 do 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.

### **Personal Correspondence**

Personal Correspondence is correspondence which is of a personal nature and has no relevance to the business of the University. Examples include: 'Let's do lunch', personal/family arrangements or CVs.

The University allows a small amount of personal information to be retained by an individual. The University has provided a specific directory, such as the P Drive, to store this type of information. A folder or folders should be identified in your email package to identify your personal information. Business information should not be included in these personal areas.

Personal electronic documents email and papers can be destroyed as soon as staff members no longer require the information and should be removed or destroyed prior to leaving the University. Refer to the [Human Resources Termination of Employment Clearance form](#) and the [University Records & Information - Cessation of Employment form](#) for procedures. If correspondence incorporates both personal and work-related information, then the correspondence is a business record and should be saved into a formal recordkeeping system.

### **Documenting Conversations**

It is appropriate that conversations through telephone, SMS or face to face be documented if significant business decisions have been made, and there is no documentary evidence to follow such as a letter or memo. Examples include conversations that:

- Convey the primary response from the University to another organisation, a staff member, a media representative or a client (i.e. instances in which a response will not be confirmed in writing); or
- Represent complaints from a member of the public requiring further investigation

## **RECORD FORMATS**

### **Source Record**

Source records are documents or other records that have been copied converted or migrated, or will be the input for such a process. A source record may be an original record or it may be a reproduction that was generated by an earlier copying, conversation or migration process.

## **Reproduction Conditions for Digitising Source Records**

The University must ensure that the certain conditions are met to ensure the reproductions of records that have been digitised have the required degree of authenticity, integrity, and reliability. For more detailed information on requirements please refer to the Archives Office of Tasmania, Guideline No 8, [Management of Source Records that have been Copied, Converted or Migrated](#).

### **Paper Records**

Paper is still a popular type of format for records retained in the University. Paper records need to be recorded, captured in a fixed form, maintained and made accessible as records. Paper 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.

These records may consist of paper documents enclosed in a manila file or folder cover and should be kept in suitable storage mediums such as lateral filing cabinets in accordance with storage standards applicable to their needs. Paper records identified permanent in value, e.g. signed Council Minute papers, are be printed on archival quality paper to ensure they are accessible over time.

### **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 or has become part of a transaction.

Those records of ongoing value which are created or received electronically, including word processed documents and electronic mail messages, should be captured into a record keeping system. For offices where TRIM has not yet been installed, you need to store in a share folder to ensure accessibility or alternatively print the document and attach to the relevant paper folders or make a cross reference on the relevant paper folders.

Records should not be held on hard drives, USB's, CD's, DVD's or any other storage device without a strict back up regime. Once electronic documents or emails are captured into the record keeping system they can be deleted from your machine. The disposal of electronic

documents and electronic mail must be undertaken in compliance with the Archives Act 1983.

### ***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 requirements are outlined in the Archives Office of Tasmania [State Records Guideline No 7 Managing Email as Records](#) and [State Records Advice no 4, Management and Capture of Email](#).

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 either stored in email share folders or printed in full and placed on the physical corporate folder.

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.

### ***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. Folders that are to be retained permanently must check that thermal paper has been replaced 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 then the original fax may be destroyed appropriately.

### ***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 a formal recordkeeping system. The record is required to be updated each time a new version is published.

Please refer to the Archives Office of Tasmania [State Records Guideline No 15 on Recordkeeping for Websites and Web Pages](#) and, The University [Web Services – Policies and Standards](#) web page for further information.

### ***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.

Where the master set of University publications are held in electronic format, transfer the final version to the State Library of Tasmania's, [Stable Tasmanian Open Repository Service \(STORES\)](#).

Refer to **Publications** for further clarification.

### **Publications**

All publications published by the University are subject to the requirements set out in the Libraries Act 1984 which stipulate "Tasmanian publishers are to lodge publications for legal deposit with the State Library of Tasmania".

The Libraries Act defines the term "book" very broadly, so as to include not only substantial books, pamphlets and periodical publications, but also posters, leaflets, postcards, microforms, audio and video publications and electronic publications - that is, any item of which there are multiple copies that have been made available, by sale or free of charge, for potential distribution to the public.

This is reinforced by the inclusion of publications in the Archives Act 1983 in that the definition of "State records" in the Archives Act covers material in any format published by State and local government organisations which are required to retain publications until they are dealt with under the provisions of the Act.

STORES has been authorised as a repository for the lodgement of electronic publications that are required for permanent retention. Agencies should therefore identify significant electronic publications for retention in [Stable Tasmanian Open Repository Service \(STORES\)](#). The authorisation of this process is included in the Disposal Schedule for Common Administrative Functions [DA No. 2157 section 14.12.00](#) issued by the State Archivist .

When publications are identified for retention in STORES the records management systems of the Agency must register that this action has taken place and maintain all metadata relevant to its continued accessibility.

## **MANAGING RECORDS**

### **Folders (Files)**

Folders are created to house documents that have common subject matter, security and retention values, in the one location. They may be physical, electronic or a combination of both. Documents are contained in a folder in order that they are:

- Protected against loss and/or deterioration
- Registered using a classification scheme (controlled language) to aid retrieval
- Classified with a records disposal schedule to assist with the retention and disposal decisions
- Tracked to ensure that the folder is easily retrievable.
- Made available for future reference.

### **Physical folders**

Usually information will start its life enclosed on a generic folder until it "grows legs" of its own. A physical folder should have 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

Folder contents are reviewed to identify issues that have developed to the point where a new folder for the subset material is created. This reduces the amount of 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 an electronic document and recordkeeping system, original documents are not handed loose to officers, but are enclosed on a folder and handed to the officer or forwarded electronically. This practice reduces the risk of the loss of the document.

### **Electronic Folders**

Electronic folders are created and managed the same as physical folders. Official records should be held in a record keeping system or if unavailable, in share folders which are identified and listed (indexed). Business information is not to be kept in personal drives or folders to ensure that information can be shared within the business unit where appropriate. Consistent naming conventions should be utilised for the naming of folders ensuring that information is retrievable.

### ***Transfer of University Records to Other Organisations/Institutions***

The custody or ownership of University records may not be changed without prior approval from the State Archivist. Where practical it is preferable that the University retain ownership of the records, therefore keeping control of the records.

### ***Outsourcing - Recordkeeping Issues***

An outsourcing exercise may be authorised by one or two means; through the use of a legislative instrument or through a contract with a third party entity. An example of outsourcing of University functions and activities is the outsourcing of off site storage facilities for University inactive records.

When outsourcing University functions and activities the following recordkeeping principles need to be established to ensure that:

- Records are adequately controlled for the duration of contracts or agreements regulating the outsourcing of the University's functions and activities,
- Records are disposed of legally during the outsourcing of university functions and activities,
- Access to records is regulated and controlled following the outsourcing of the University's functions and activities,
- Questions surrounding the storage of records are clarified during planning and implementation of outsourcing University's functions and activities,
- Questions surrounding the ownership of records are clarified during planning and implementation of the outsourcing of the University's functions and activities.

For specific requirements refer to the Archives Office of Tasmania [State Record Guideline No 10, Outsourcing of Government Business – Recordkeeping Issues](#)

### **Privatisation - Recordkeeping Issues**

The privatisation of certain functions and activities of the University may be authorised by either the use of a legislative instrument or through a contract with a third party entity. An example of privatisation of a University function and activity was the establishment of UTAS Innovation Ltd who took over the Commercialisation Unit of the University. This company was set up under the Corporations Act, not under State legislation, so was defined outside the scope of the University's policies and procedures.

When privatising any University functions or activities the following recordkeeping principles need to be incorporated to ensure that:

- State records are adequately controlled during the privatisation processes.
- State records are disposed of legally during the privatisation of the university's functions and activities.
- Access to State records is regulated and controlled following the privatisation of the University's functions and activities.
- Questions surrounding the storage of State records are clarified and documented the planning and implementation of privatisation of the University's functions and activities.
- Questions surrounding the ownership of records are clarified during the planning and implementation of privatisation of the University's functions and activities.

For specific requirements refer to the Archives Office of Tasmania [State Guidelines No 14, Privatisation of Government Business – Recordkeeping Issues](#)

## **RECORD KEEPING SYSTEMS**

### ***What is a Record Keeping System?***

A recordkeeping system is a system which captures, manages and provides access to records through time. These systems can be either in electronic or paper form.

A recordkeeping system should:

- Routinely capture all records within the scope of the business activity it covers,
- Organise the records in a way that reflects the business processes of the records creator
- Protect the records from unauthorised alteration or disposition
- Routinely function as the primary source of information about actions that are documented in the records, and
- Provide ready access to all relevant records and related metadata.

A recordkeeping system should have accurately documented policies, assigned responsibilities and formal methodologies for its management

Some areas of the University have access to a recordkeeping system called TRIM (Tower Records & Information Management). This system assists the management of business information, both physical and electronic including email, from creation or receipt to destruction or archiving. Control processes include classification and document registration, correspondence management, folder and action tracking, security and access, retention and disposal, auditing and archiving.

### ***What is Recordkeeping Metadata?***

Recordkeeping metadata is a tool that enables you to describe records, people and business activities in a suitable amount of detail to ensure:

- better information accessibility
- improved records management, and
- greater accountability in business operations.

A number of everyday activities involve the capture of metadata about records or rely on metadata being available. Examples include:

- identifying personal information that must be protected under Privacy legislation
- accessing documents sought under Freedom of Information legislation
- transferring records to another organisation as a result of administrative change or privatisation
- tracking correspondence
- identifying vital records as part of disaster planning
- transferring permanent records to the Archives Office of Tasmania, or
- documenting the destruction of records.

Metadata is a way of codifying information needed to use and access records. The elements below document five types of information:

- What records do we have?
- Where are the records?
- What do the records relate to?
- Who can access the records?
- How are the records managed?

The elements are presented in tables which contain:

- a code (numeric and/or alphabetical) that uniquely identifies the element or qualifier.
- title of the element or qualifier
- purpose of the element or qualifier
- examples and comments on how to use the element or qualifier

The State Archivist has endorsed the Recordkeeping Metadata Standard for Commonwealth Agencies and promotes this standard for use in Tasmanian State and Local Government organisations. Refer to the [State Records Advice No 14 Recordkeeping Metadata Standard](#).

### ***What is a Classification Scheme?***

A classification scheme stipulates the use of controlled vocabulary to ensure that terms are used consistently. This facilitates searching, retrieval, disposal sentencing and reporting. To provide a consistent method for the classification of documents and folders, the University has adopted the Keyword AAA Functional Thesaurus as the basis for its classification system.

According to this classification model:

- Functional keywords represent broad business functions of the University, for example; Strategic Management, Property Management, Courses, Degrees & Diplomas,
- Activity descriptors describe the more specific activities taking place within those functions, for example Maintenance, Planning Implementation, Construction, and

- Subject descriptors are added as a means of describing the more specific subjects or topics relating to the matter to be documented within an activity. These authorised terms can be supplemented by some free text, that is, words not derived from the thesaurus, such as the name of an organisation, an individual or a project. The form of these is set out in the University Data Entry Standards.

The keywords and descriptors are the authorised terms provided by the thesaurus.

A folder title is constructed by allocating a functional keyword, followed by an activity descriptor, followed by a subject descriptor and/or some free text. Scope notes describe how each of these terms is to be used.

An example of the hierarchical title structure is

PROPERTY MANAGEMENT – MAINTENANCE - Lifts

In the example, PROPERTY MANAGEMENT is the functional keyword to describe the function of managing University premises. MAINTENANCE is the activity descriptor representing this activity taking place. Lifts is the subject descriptor, showing the subject/topic being documented on the file. You can see from the file title itself that lifts are one concern when carrying out the maintenance activity and that maintenance is an activity that must take place when managing premises.

The Thesaurus is available through the Records Management Unit. The Functional Keywords are 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/government/training\\_program](http://www.archives.tas.gov.au/government/training_program).

### ***What is the Disposition of a Record?***

A disposition describes what the current status is for a record or group of records. A disposition is another way of categorising records to enable easier retrievability of records. These are broken up into 4 categories:

- **Active** – active records are ones that are used on a day to day basis, usually current. These records are kept in current folders (electronic or physical) for easy access.
- **Inactive** – inactive records are records that have little if any use but are required to be retained before destruction or disposal. These records may be located in a nominated secondary storage area be it physical or electronic.
- **Destroyed** – Destroyed records have been destroyed in accordance with the Archives Act 1983.
- **Archived** – Archived records are records that have been identified as permanent in value and located in a controlled long term storage repository.

### **ACCESS AND SECURITY OF RECORDS**

Refer to the [Record Security Guidelines](#) and the [Information Security Framework](#) and the [TRIM Security Guidelines](#) for specific requirements, clarification and risk assessment protocols.

## **Access**

All officers can access the business records created by the University that they require to conduct their operational requirements of their business role. There may be specific legislation and policies that govern accessibility of some information. Records that contain personal, commercial or operationally sensitive information will be identified and restricted to ensure that only those officers that have a business reason to access this information will be able to do so.

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.

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.

## **Folders/Files and Documents**

Physical official folders are not to be sent out or taken off campus without authorisation. It is preferable that copies be made for this purpose and identified as such. Where original records are required, (eg. for legal matters in the case of litigation) the Head of the Business Unit, and/or Manager, Records and Information should be advised before the records leave the University, to ensure appropriate record security, and tracking can be completed and follow ups for return of files/folders can be made.

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 a formal recordkeeping system and retained with the business unit.

Protocols and procedures need to be implemented for staff that work from home/offsite to ensure security and access of records is managed appropriately.

## **Access to University Archived Records held at the Archives Office of Tasmania Repository**

University administrative records identified as having permanent retention and were previously located in the Morris Miller Library Special Collection area have been transferred to the Archives Office of Tasmania Repository located at Berriedale. The majority of information held is over 25 years old. Listings of all records that the University has transferred are available from the [Tasmanian Archives On-Line](#) database.

When making requests to the Archives Office of Tasmania, the following information should be provided:

Name of Business Unit

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 on the Archives On-Line database. For records that may not have an Accession reference, authorisation will have to be obtained from the Manager, Records and Information.

Public access to restricted records that are retained by the State Archives must be referred back to the responsible business unit prior to release. Refer to [CORPR 9.1 Public Access to Restricted Archived University Records Procedure](#) and the associated form, [Access to University Archival Records Confidentiality Undertaking](#)

For specific requirements refer to the Archives Office of Tasmania Advice 11 - [Short Term Retrieval of State Records](#) for further information.

### ***Breaches of Access and Security***

Any access or security breach must be reported immediately to a Supervisor/Manager. A breach includes the loss (misplacement, unauthorised deletion or theft), inappropriate access or unauthorised disclosure of University records and information.

Any breach will be dealt with in accordance with:

- Information Technology Facilities Use Agreement & Guidelines
- Human Resources Manual, Academic Staff Termination of Employment and Disciplinary Action Procedures
- Human Resources Manual, General Staff Termination of Employment and Disciplinary Action Procedures
- Academic Staff Agreement
- General Staff Agreement

### ***Security and Storage***

University records that are identified as containing sensitive or confidential information must be identified. Protocols and procedures must be put in place to appropriately manage and protect these records, regardless of format, from unauthorised access, damage and loss (including theft).

Some of the more sensitive records include:

- Student records
- Client records
- Medical records
- Staff records
- FOI requests
- Grievance matters
- Legal matters
- Performance Appraisals
- Tender documents

If you require access to records you would not normally have access to, you must formally request access to the relevant owner of the records through your supervisor.

## **Physical Storage**

Where possible, all physical records storage areas are to be secure areas with access only provided to authorised personnel. Staff members 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 members must ensure shelving units are locked appropriately when leaving offices unattended.

Staff members must ensure that confidential and/or sensitive records are not left on desktops or in plain view whilst offices are 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.

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

## **Electronic Storage**

Confidential and sensitive information must be protected from unauthorised access, alteration or deletion by ensuring that appropriate security measures are put in place to deal with this type of information. Measures may include:

- Setting up work group access to directories/folders
- Locking the machine if absent from the office
- Utilisation of passwords
- Making documents 'read only'
- Ensuring 'records' are identified as such and placed into a recordkeeping system.

## **Using Shared Folders in Conjunction with a Recordkeeping System**

Shared folders are utilised to facilitate collaboration, dissemination of information and storing certain document formats that are difficult to capture into a recordkeeping system. These shared folders can be either located on network drives or in public folders in some email environments.

Shared folders are a useful tool but they need to be managed and monitored regularly to ensure that proper records are kept. Some of the ways in which this can be achieved include the following:

- Incorporate the use of shared folders into the overall information management framework. For example setting up a controlled folder structure.
- Provide viable alternatives for staff to use instead of shared folders. These include an easy to use recordkeeping system and collaboration tools and the use of an intranet to facilitate dissemination of documents.

- Ensure that copies of all approved or final versions of documents are placed into a recordkeeping system.
- Ensure that all staff are aware that the 'official' version of the documents should be obtained from the recordkeeping system.
- Provide links between the shared folder and the recordkeeping system.
- Change work practices to ensure that draft documents are removed from the shared folder after being placed into the recordkeeping system.
- Remove out of date or obsolete drafts or reference copies of documents from the shared folders on a regular basis.
- Enforce security permissions that limit the ability of most users to create folders and delete or amend documents.
- Ensure that your recordkeeping policy and procedures cover the use of shared folders.

There are risks associated with using shared folders – see **Appendix 3** – Risks associated with shared folders for further information.

### **Off Site Storage of Records at Commercial, or other Premises not Owned or Leased by the University.**

Off site storage facilities may be utilised for storage of inactive records waiting destruction or transfer to the Archives Office of Tasmania. A generic transfer of custody authorisation disposal authority DA 2215 has been issued by the State Archivist to enable the University to enter into arrangements with storage providers. This means we do not have to seek specific authorisations to enter into these arrangements provided that the conditions set out in the State Records Guidelines are met.

Irrespective of where they are, stored State records are subject to legislation such as Freedom of Information 1991 and to legal processes such as discovery and subpoenas.

The University entering into arrangements to store University records with a service provider must ensure that all contractual arrangements recognise their continuing responsibility for the proper management of those records. Service providers must be made aware of their consequential obligations under the Archives Act 1983 and that they must comply with any relevant guidelines issued by the State Archivist under that Act.

A register listing all records must be retained by the transferring business unit to ensure that the records are easy to retrieve. Ideally these records should be appraised and scheduled before transfer so disposal or transfer can be undertaken in an efficient, cost effective timely manner.

Refer to [RMU Information Sheet No 1 – Managing Inactive \(Archival\) Records](#).

Refer to Archives Office of Tasmania [State Records Guideline Number 13 For Storage of State Records in Non-Agency Facilities](#), and [State Records Guideline No 11, Physical Storage of State Records](#).

### **PRESERVATION / PROTECTION OF RECORDS**

Records appraised as permanent or requiring long term retention, need to be retained 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 physical 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.
- Archive 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, '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 using 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. To ensure that digital records are accessible over time, migratory plans and processes need to be put into place. Refer to the Archives Office of Tasmania, Guideline No 8, [Management of Source Records that have been Copied, Converted or Migrated](#).

Research specimens and collections will require specialist storage as suited to the type of material being stored.

Refer to the Archives Office of Tasmania State Records Guideline No 11 [Physical Storage of State Records](#) for clarification on standards.

See **Appendix 4** for recommended medium.

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

## RETENTION, DISPOSAL AND DESTRUCTION OF RECORDS

### ***Disposal Schedules***

Disposal Schedules (sometimes called Disposal Authorities) identify the functions and activities, describe the type of records associated with each other, and prescribe a disposal action. These schedules are legal documents that provide the necessary authorisation by the State Archivist to allow disposal to be undertaken. 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 1983, and forward a copy to the Manager, Records and Information. It will be reported to the State Archivist as part of the annual audit. For items not covered by a Disposal Schedule, you should seek authorisation from the State Archivist before destruction can proceed. Refer to the section on *Unscheduled Records* for further details.

A Functional Disposal Schedule for the University to incorporate records not covered in the current schedules will be developed and implemented in the future.

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 for Student Administration Records of the University of Tasmania No 32* ([DS32](#))
- *Disposal Schedule for Training & Assessment Records of Government Registered Training Authorities No 2135* ([DA2135](#)).

Records and information created by staff members of the University are subject to compliance with the Archives Act 1983, because the University is created under 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.

### ***Appraisal***

Appraisal is the process of evaluating the University's business activities to determine which records need to be created and captured into recordkeeping systems and how long the records need to be kept, to meet business needs, the requirements of the organisational accountability and community expectations. This includes determining which records should be kept as part of our University's collective memory and cultural heritage.

Decisions on how long records should be retained are based on the recordkeeping requirements of the record. In addition to regulatory, business and stakeholder requirements the potential research value of the records should also be considered as this is a significant aspect of community stakeholder expectations. Many records created for a specific purpose have a research value unrelated to the reason for their creation.

Records identified for permanent retention are likely to be those which:

- Provide evidence and information about the University's policies and actions
- Provide evidence and information about the University's interaction with the client community it serves
- Document the rights and obligations of individuals and business areas
- Contribute to the building of the University's memory for scientific, cultural and historical purposes
- Contain evidence and information about activities of interest to internal and external stakeholders.

To ensure accountability, it is essential that the processes identifying recordkeeping requirements is well documented and provides the necessary detail to justify the disposal recommendations submitted to the State Archivist. This is accomplished in draft disposal schedules or when making one off recommendations for the disposal of unscheduled records. The documentation should provide the rationale for each requirement and enable it to be traced back to its source.

Refer to the Archives Office of Tasmania State Records Advice No 2 – [Records Appraisal](#) for further detail.

### ***Records Copied into Other Media***

The Electronic Transactions Act 2000 facilitates electronic communications, and the Evidence Act 2001 changes the requirements for admissibility of evidence for records created or maintained in electronic systems. The provisions of these two Acts do not override the provisions in the Archives Act 1983 that the disposal of all State Records must be authorised by the State Archivist

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). The reproductions of source records may be retained as the official agency records providing they have the required degree of authenticity, integrity, reliability and usability necessary to substitute for the source records in business and regulatory applications. This includes their use as evidence in the Courts, to respond to Freedom of Information requests or to comply with guidelines issued by the State Archivist.

The *Disposal Schedule for Source Records - DA No. 2159* covers the disposal of source records. Please refer to the [State Records Guideline No 8 – Management of Source Records that have been Copied, Converted or Migrated](#) for further clarification.

### ***Permanent Records***

Permanent records should be transferred to the Archives Office when administrative use ceases. The Archives Act 1983 establishes 25 years as the maximum required timeframe for

the transfer of permanent records to the Archives Office unless an extension of time has been approved by the State Archivist. Currently the Archives Office of Tasmania will not accept records younger than 25 years due to storage issues.

### **Temporary Records**

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. Temporary records can be retained by the University until they are no longer required for administrative purposes, but the provisions of the Archives Act 1983 regarding their proper care and custody continues to apply while they are still in existence. Off site storage facilities can be utilised for inactive temporary records if storage is an issue. Refer to *Off Site Storage of Records* section in these guidelines for further details.

### **Disposal Authorisation**

Authority to dispose of records must be obtained from the State Archivist before destruction or transfer. This can be undertaken by either:

- Implementing disposal actions identified in approved Disposal Schedules, or
- Obtaining written authorisation from the State Archivist for those items not covered by a Disposal Schedule.

### **Records Disposal Schedules**

A records disposal schedule is a detailed inventory of records created and stored by the University, listed by record classes identified within the contextual framework of the University's functions and activities, and identifying the appropriate disposal action. These documents are formally authorised by the State Archivist and the destruction periods identified in the schedule can be acted upon without further reference to the Archives Office.

Refer to Archives Office of Tasmania Advice No 9 – [Disposal of Scheduled Records](#) for clarification of procedures.

Additional requirements for Register of Records Destroyed for Freedom of Information apply, See the Section on Freedom of Information for clarification.

### **Register of Records Destroyed**

The University is required to maintain a Register of Records Destroyed which is central to the accountability process built into the disposal schedules. It is important to recognise that the formal evidential record of destruction is contained in this registration process. As the register is to be made available to the State Archivist (or nominee) on request it is required that a copy of the register maintained in each business unit, be forwarded to the Manager, Records & Information annually.

It is expected that destruction authorised in the *Disposal Schedule for Short-term Value Records – DA No. 2158* will be a normal administrative practice and it is **not** necessary to make an entry in the Register of Records Destroyed.

Refer to University's [Register of Records Destroyed](#) template from the Records Management Units web site and the associated [Records Management Unit Information Sheet](#).

This register should not be used to list unscheduled records as these will be covered by a Destruction Authority issued by the State Archivist.

### **Unscheduled Records**

Unscheduled records are University records that have not been identified in a current Disposal Schedule identified as requiring destruction or transfer. Examples include: research records, teaching Materials, course curriculum and student complaints & discipline. This procedure should only be used in circumstances when the records need to be disposed of as a priority and it is impractical to develop a disposal schedule.

Refer to Archives Office of Tasmania State Record Advice No 10 – [Disposal of Unscheduled Records](#).

### **Destruction of Records**

Records that have been approved for destruction, under the relevant schedule or authority, should be destroyed in accordance to the following recommendations for the medium in which the record exists. The University must ensure that these records are destroyed and that the process is confidential and secure. This responsibility is delegated to the Heads of Business Units in which the records are owned.

#### **Paper**

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

- The records may be placed in large containers supplied by a commercial firm for security shredding. These large containers should be located in a secure location.
- Individual sheets may be passed through a paper shredder.
- Ephemeral material may be recycled by pulping or normal waste disposal processes depending on amount/bulk.

#### **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.

Refer to [Secure Disposal of ICT Equipment Procedure](#).

### **ARCHIVES OFFICE**

The Archives Office of Tasmania is part of the Tasmanian Archive and Heritage Office located on the 2nd floor, 91 Murray St, Hobart with its main storage repository at Berriedale.

The Vice Chancellor is the delegated authority and is ultimately responsible to the State Archivist for the management of all University 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.

### ***Transfer of Records to the Archives Office***

The Archives Act 1983 stipulates that 'relevant authorities', such as the University, must transfer state records more than 25 years old to the Archives Office unless the records have been authorised for destruction or a written exemption has been obtained from the State Archivist. Conditions may be imposed in respect to the management of, and provision of access to, the state records that are the subject of an exemption.

All records identified as having a 'permanent' status in an authorised Disposal Schedule should be transferred to the Archives Office 25 years after the date of creation.

Where permanent value records are maintained in an electronic format, the issues of system changes and media and file format obsolescence and the continuing linkage of recordkeeping metadata with individual records needs to be managed by the University to ensure these records remain accessible over time.

Strategies should be developed and implemented for refreshing and migrating media formats, migrating file formats, and managing recordkeeping metadata.

Refer to the Archives Office of Tasmania [State Records Advice No 12 – Preparing Records for Transfer to the Archives Office](#).

### ***Access to State Records Transferred to the Archives Office***

Records that are transferred as State records to the Archives Office will become publicly accessible when transferred unless access restrictions are notified at the time of transfer. When transferring scheduled records to the Archives Office, the University will need to indicate in their 'Application to dispose of State records' form, if restriction is required. This recommendation will be recorded on the completed 'Transfer and Access Agreement' which will be returned to the University for approval once the records have been processed by the Archives Office.

University records that have been transferred and open to public access can be requested and accessed through the Reading Room, L2 91 Murray Street, Hobart.

Public access to restricted records that are retained by the State Archives must be referred back to the responsible business unit prior to release. [Refer to CORPR 9.1 Public Access to Restricted Archived University Records Procedure](#) and the associated form, [Access to University Archival Records Confidentiality Undertaking](#).

For specific requirements refer to Archives Office of Tasmania:

- [State Records Guideline No 4, Agency Determination of Access Restrictions](#)
- [State Records Guideline No 12 Short-term retrieval of State Archives](#)
- [State Records Advice No 11 Short term retrieval of State Archives.](#)

### ***Transfer and Access Agreement***

The Transfer and Access Agreement is signed by the University's delegated authority, the Vice Chancellor, and the State Archivist which is the official form of receipt acknowledging transfer of the records listed to the custody of the State Archivist.

Refer to Archives Office of Tasmania [State Record Guideline No 4 - Agency Determination of Access Restrictions](#)

## **FREEDOM OF INFORMATION**

Any documents created and received by a University officer in the course of their duties may be subject to a Freedom of Information (FOI) application. University records of any format may be required in response to an FOI application including emails and electronic data stored within databases, servers, hard discs, USB's etc.

### ***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 unless a hold has been put in place for specified information. A hold is placed on records that have been identified as having an ongoing requirement to be retained (e.g. an ongoing investigation into a student or staff member or legal proceedings).

### ***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.

### ***FOI 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).

## **PRIVACY**

All staff involved with the collection, storage and use of personal information should be familiar with the University [Privacy Policy](#) and the [Personal Information Protection Act 2004](#). Records will be managed in compliance with security and access guidelines.

## **GUIDELINE APPROVAL**

<b>Status of version</b>	Approved
<b>Policy Maker</b>	Director, Governance and Legal
<b>Name</b>	Belinda Webster
<b>Signature</b>	(signed)
<b>Date</b>	2 February 2010

## APPENDIX 1 – LEGISLATIVE OBLIGATIONS

### University of Tasmania Act 1992

Under the [University of Tasmania Act 1992](#) the University of Tasmania is responsible for various functions including:

- to advance, transmit and preserve knowledge and learning, to encourage and undertake research;
- to promote and sustain teaching and research to international standards of excellence;
- to encourage and provide opportunities for students and staff to develop and apply their knowledge and skills;
- to provide educational and research facilities appropriate to its other functions;
- to promote access to higher education having regard to principles of merit and equity;
- to foster or promote the commercialisation of any intellectual property;
- to engage in activities which promote the social, cultural and economic welfare of the community and to make available for those purposes the resources of the University.

These functions require the management of records for business, regulatory or stakeholder requirements as specified or implied by State or Commonwealth legislation.

### Archives Act 1983

The [Archives Act 1983](#) and amendments, and the [Archives Regulations 2004](#), provide the legislative background and provisions for dealings with State records and establish the framework for formal guidelines and other standards and policy settings for management of these records.

The Act includes:

#### Section 10 - Preservation of State Records

- (1) The relevant authority, i.e. University of Tasmania –
  - (a) is to keep **proper records** in respect of the business of the Government department, State authority or local authority for which the relevant authority is responsible; and
  - (b) is to cause all such records to be **preserved and accessible** until they are dealt with in accordance with this Act; and
  - (c) may, in the name of the Government department, State authority or local authority, take legal proceedings for the recovery of any such records if the relevant authority no longer has legal custody of them.
- (2) Where the State Archivist believes on reasonable grounds that any State records are being kept under control of a relevant authority, the State Archivist may –
  - (a) after giving not less than 2 days notice to the authority, enter and inspect any place under the control of that authority or any place at which the State Archivist believes on reasonable grounds that any such records are being kept;
  - (b) inspect any State records kept at any place entered pursuant to paragraph (a); and

- (c) give advice in writing to the relevant authority with respect to the keeping of any State records under the control of the authority.
- (3) Any person who, without lawful justification or reasonable excuse, obstructs the State Archivist in the exercise of the powers conferred by subsection (2)(a) or (b) is guilty of an offence and is liable on summary conviction to a fine not exceeding 5 penalty units.
- (4) It is the duty of every relevant authority to whom or to which advice is given under subsection (2)(c) to take all reasonable steps to implement the advice.
- (5) In subsections (2) and (3) a reference to the State Archivist includes a reference to any State Service officer or State Service employee who is for the time being acting with the authority of the State Archivist.

### **Section 10A - State Archivist may issue guidelines**

- (1) The State Archivist may, by written instrument, issue guidelines to a relevant authority in respect of any matter relating to the making and the keeping of State records.
- (2) The State Archivist may, by written instrument, amend or revoke the guidelines.
- (3) It is the duty of the relevant authority to take all reasonable steps to ensure that the guidelines are complied with.

### **Section 20 - Disposal, destruction, &c., of State records**

- (1) Except as provided by this Part, a person shall not–
  - (a) destroy or otherwise dispose of a State record; or
  - (b) transfer, or be a party to arrangements for the transfer of, the custody of a State record; or
  - (c) transfer, or be a party to arrangements for the transfer of, the ownership of a State record; or
  - (ca) refuse to provide the State Archivist with the full name and residential address of the person for whom that person is acting as an agent in an arrangement under [paragraph \(b\)](#) or [\(c\)](#) for the transfer of a State record; or
  - (d) damage or alter a State record.

Penalty:

Fine not exceeding 50 penalty units.

### **Freedom of Information Act 1991**

The Tasmanian [Freedom of Information Act 1991](#) (FOI Act) gives people the right to be provided with information held by Government agencies (which includes government departments, ministers, local councils and most public authorities) unless the information is exempted from release.

In particular, members of the public have a right of access to records of their personal information and may request to have the records amended if the information about them is incorrect, incomplete, out of date or misleading.

If access to, or amendment of information is refused, the applicant has a right to have the decision reviewed by the Head of the agency. If still dissatisfied there is a further right to seek a review of the agency's decision by the Ombudsman.

The FOI Act sets out certain documents which may not be accessed (exempt documents). Generally, these documents are those which must be kept confidential to protect essential public interests, personal or business information.

### **Personal Information Protection Act 2004**

The [Personal Information Protection Act 2004](#) specifies the minimum legal requirements for collecting, using and protecting a record as well as confidentiality. Schedule 1 of the Act contains the 10 Personal Information Protection Principles(PIPP);

1. Collection
2. Use & Disclosure
3. Data Quality
4. Data Security
5. Openness
6. Access & Correction
7. Unique identifiers
8. Anonymity
9. Disclosure of information outside Tasmania
10. Sensitive information

These principles stipulate that personal information held by an organisation is:

- accurate, complete, up to date, and relevant to its functions and activities (PIPP 3), (PIPP 6);
- used only for a purpose in which it is relevant and only for the purpose for which it obtained, unless an exemption is applicable (PIPP2); and
- take reasonable steps to protect the information it holds from misuse, loss, unauthorised access, modification or disclosure (PIPP4), (PIPP 9).

### **Evidence Act 2001**

Commonwealth and State Evidence Acts may impact on how records are managed in the University as they may be subject to subpoena or court discovery For records to be admissible they must be:

- authentic (i.e. not having been altered or modified without authority);
- complete and accurate; and
- logically sequenced and arranged.

### **Electronic Transactions Act 2000**

The [Electronic Transactions Act 2000](#) is an Act to facilitate electronic transactions. It also supports the Evidence Act 2001 by providing guidance on provision of admissibility of information and records as evidence in electronic format.

If a Commonwealth/State law requires **information to be recorded in writing**, an electronic record will satisfy the requirement if at the time of recording the information it was

reasonable to expect the information would be readily accessible for subsequent reference. If the use of a particular kind of data storage device is required, that must be used.

If a Commonwealth/State law requires **a written document to be kept** for a particular period, an electronic version of that document will satisfy the requirement if the above conditions are met and the method for recording it assures the integrity of the information contained in the document.

If a Commonwealth/State law requires **an electronic communication to be kept** for a particular period, a person retaining that information in electronic form will satisfy the requirement if all of the above conditions are met. Records must also be kept identifying the origin, destination, time of sending and time of receipt of the electronic communication

### **Limitation Act 1974**

The [Limitation Act 1974](#) stipulates time frames information is required to be kept for the purpose of actions and arbitration. These may relate to actions in respect of personal injuries incurred before or after commencement day, claims in equity, adverse possession of land, rent recovery disability, fraud and mistake and repeals.

### **Financial Management & Audit Act 1990**

The [Financial Management & Audit Act 1990](#) is an act to provide for the management of the public finances of Tasmania in an economical, efficient and effective manner consistent with contemporary accounting standards and financial practices, for the audit of public finances.

## **APPENDIX 2 – FUNCTIONAL KEYWORDS**

### **Academic Co-operation**

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 and 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 and 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 and 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 and 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 and 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.

## **APPENDIX 3 - RISKS ASSOCIATED WITH USING SHARED FOLDERS**

### Risks associated with using shared folders

Shared folders are a useful tool but they need to be managed and monitored regularly to ensure that proper records are kept.

From a recordkeeping perspective, shared folders have some of the following risks.

- It is easy to develop a confused, uncontrolled hierarchy of folders and document titles making retrieval difficult.
- The lack of recordkeeping functionality means that documents are not 'good' records nor reliable evidence.
- It is difficult to collect recordkeeping metadata that identifies, authenticates and describes records in a systematic and consistent way.
- Security settings that permit users to save documents to the folder also give users the ability to inadvertently delete a document.
- Ease of alteration (either deliberate or accidental) makes it difficult to ensure that the version in the shared folders is the same as the 'official' version. Audit trails detailing alterations are not usually kept.
- Ease of duplication means that it is difficult to identify where the 'primary' record is located.
- The overall management of documents is generally 'ad hoc' and not incorporated into the overall information strategy of an organisation.
- It is difficult to identify sequences of documents ( either within the shared folder, or in other systems) that relate to the one business process.
- Limited capacity of information technology infrastructure may mean there is pressure to destroy documents while they are still useful.

#### **APPENDIX 4 - RECOMMENDED MEDIUM FOR HOLDING PHYSICAL PAPER RECORDS**

File Covers: Quality heavyweight manila 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

Out guides – 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 Screw-binder and accessories (handy for transferring records out of A4 Ring Binders)