



## Records Management Policy CORP 9.1

<b>Relevant State/Federal Govt. Legislation</b>	Archives Act 1983, Archives Regulations 2004, Evidence Act 2001, Electronic Transactions Act 2000, Limitations Act, Financial Management and Audit Act 1990 and Regulations No 9, Freedom of Information Act 1991, Personal Information Protection Act 2004,, Occupational Health & Safety Act, Public Interest Disclosures Act 2002
<b>Commencement Date</b>	28 October 2008
<b>Review Date</b>	28 October 2009

### POLICY STATEMENT

#### 1 Intent

Staff of the University of Tasmania must ensure records are created, captured, maintained, secured and disposed of in a way that complies with legal, administrative, cultural and University business requirements.

#### 2 Scope

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

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

#### 3 Objective(s)

To provide a records management framework to ensure that;

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- Historical documents of the University are captured and preserved.

## 4 Definitions and Acronyms

<b>Accountability</b>	is the principle that individuals, organisations and the community are responsible for their actions and may be required to explain them to others. <sup>1</sup>
<b>Business Unit</b>	refers to an administrative or academic area which may be a part of a division, department, institute, faculty or school.
<b>Archives</b>	means those records that are appraised as having continuing value. <sup>2</sup>
<b>Electronic Record</b>	means “any record communicated and maintained by means of electronic equipment and includes, but is not limited to, electronic organizers, computer-based diaries, appointment books and calendars, electronic mail, facsimile transmissions, computer disks and other storage devices”. <sup>3</sup>
<b>Evidence</b>	is the information that tends to prove a fact and supports the business activity. <sup>4</sup>
<b>Metadata</b>	is data describing context, content and structure of records and their management through time.
<b>Preservation</b>	means the “processes and operations involved in ensuring the technical and intellectual survival of authentic records through time”. <sup>5</sup>
<b>Recordkeeping System</b>	is a system which captures, manages and provides access to records through time. Recordkeeping systems can be either in an electronic or paper form.
<b>Record</b>	means recorded information in any form, “created or received and maintained as evidence and information by an organization or person, in pursuance of legal obligations or in the transaction of business”. <sup>6</sup>
<b>Records Management</b>	is the “field of management responsible for the efficient and systematic control of the creation, receipt, maintenance, use and disposition of records, including processes for capturing and maintaining evidence of and information about business activities and transactions in the form of records.” <sup>7</sup>
<b>Transaction</b>	is the smallest unit of business activity. Uses of records are themselves transactions. <sup>9</sup>

Definitions obtained in part from the following

1,5,6,7 AS ISO 15489 Australian Standard for Records Management

2,3,4,9 AS 4390 Australian Standard for Records Management

## 5 Policy Maker

Executive Director, Finance & Administration

## 6 Policy Provisions

'The University of Tasmania Act 1992 provides the legislative structure in which the University is governed. The records in which the University creates are therefore State records, which come under the jurisdiction of the Archives Act 1983. The Archives Act 1983 requires all relevant authorities to make proper records of the business of their organisation and keep them until they are dealt with through the other sections of the Act'.

The University is required to make proper records of the business in which it undertakes and to keep them until they are dealt with in accordance with business practices. These records are to be created and managed in ways to ensure that they can be reused and understood in the future. This can be for current business purposes, as evidence in legal proceedings, for accountability to internal or external stakeholders, or for future historical research

### 6.1 *Records must be made*

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

### 6.2 *Records must be accurate*

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

### 6.3 *Records must be authentic*

Records made or received by the University are routinely captured into a formal recordkeeping system and that appropriate metadata is created and captured, or otherwise associated with records.

### 6.4 *Records must have integrity*

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

### 6.5 *Records must be accessible and useable*

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

## 7 Supporting/Related Documents

Standards applicable to Record Keeping are –

- AS ISO 15489-1 & 2 Records Management
- AS3806 Compliance Programs
- AS 4269 Complaints Handling
- AS ISO 23081.1 – 2004 Information & Documentation – Records Management Processes – Metadata for Records
- AS/NZS ISO 9001:2000 – Quality Management Systems
- AS ISO 19005.1 Document Management – Electronic document file format for long-term preservation Part 1: Use of PDF 1.4 (PDF/A-1)
- AS ISO 18492-2006 – Long-term preservation of electronic document-based information
- AS ISO 15801-2006 – Electronic Imaging – Information stored electronically – Recommendations for trustworthiness and reliability

Policies/Procedures applicable to the University of Tasmania Record Keeping practices -

- Archives Office of Tasmania Disposal Schedule for Common Administrative Functions Disposal Authorisation No 2157
- Archives Office of Tasmania Disposal Schedule for Short-Term Value Records Disposal Authorisation No 2158
- Archives of Tasmania Disposal Schedule for Temporary Value Source Records Disposal Authorisation No 2159
- Archives Office of Tasmania Disposal Schedule No 32 (DS32) for Student Administration Records of the University of Tasmania
- Archives Office of Tasmania Disposal Schedule for training and assessment records of government Registered Training Organisations (RTOs) Disposal Authorisation No 2135
- Archives Office of Tasmania “Guidelines & Advices”  
<http://www.archives.tas.gov.au/legislative/staterecords>
- [Australian code of conduct for the responsible conduct of research](#)
- Intellectual Property Policy
- Policy on Council Members Access to Information
- Ordinance of Endowments Prizes and Scholarships (Ordinance 30)
- Ordinance 7 – Execution of documents by the University
- Finance Policy Manual
- Privacy Policy
- Human Resource Administrative Manual – Staff Access to Personal File
- Council Confidential Information Policy

## 8 Key Words

- Records Management policy
- Records Management
- Record keeping policy
- Record keeping

- Recordkeeping
- Information Management
- Records Policy

## 9 Supporting Procedures/ Guidelines

- [Records Management Guidelines](#)
- TRIM Data Entry Standards
- Record Security Guidelines - Information Security Framework
- TRIM Security Guidelines

### RESPONSIBILITIES

<b>Implementation</b>	Executive Director, Finance & Administration
<b>Compliance</b>	Manager, Records & Information
<b>Monitoring and Evaluation</b>	Manager, Records & Information Audit Committee
<b>Development and/or Review</b>	Manager, Records & Information Audit Committee
<b>Interpretation and Advice</b>	Manager, Records & Information

### WHO NEEDS TO KNOW THIS POLICY?

- All UTAS staff

### EFFECTIVENESS OF THIS POLICY

- That records are created and identified by placement into a recordkeeping system.
- That records are complete, accurate and placed in context (appropriate application of metadata).
- That business records are accessible by the application of appropriate security and access controls.
- That mechanisms are put in place to provide access to records over time in regards to storage requirements and migration of electronic data.
- That records are disposed of in accordance with University guidelines and procedures.

### POLICY HISTORY

<b>Policy No.</b>	CORP 9.1
<b>Approved / Rescinded</b>	Approved
<b>Date</b>	28/10/2008
<b>Vice-Chancellor</b>	Professor Daryl Le Grew
<b>Signature</b>	Professor Daryl Le Grew
<b>Date of Review</b>	28/10/2009

