Records management policy - structure

MPF 1106: Records Management Policy

MPF 1108: Records Management Procedure

MPF 1109: Records Retention and Disposal Procedure

MPF 1107: Records Access Procedure

Other related information:

- Privacy Policy
- University Archives Policy
- University Archives Procedure
- Records Management guidelines on Records Services website
- Compliance materials
- International Council on Archives Principles and Functional Requirements for Records in Electronic Office Environments
What is a record?

A public record is:

‘Any record made or received by a public officer in the course of their duties’

*Public Records Act 1973*

A university record is:

‘any record created or received by staff of the University in the course of conducting their University duties’

*UOM Records Management Policy*
Physical records are records that are stored in hardcopy form.

They include:
- Paper records
- Plans
- Photographs
Electronic records are records that are born digital

They include:
Records must be:
- Created
- A record of the decisions made
- Full and accurate

- Held in systems that are able to manage them properly

- Kept as long as they are needed for any reason
- Only destroyed with authorisation
- Destroyed securely and the destruction documented.

- Stored in ways that stop them deteriorating or from being lost
- Kept securely

- Available to others
- Discoverable

- Organised
- Contextualised
Why do we capture records?

- To support our work
- To provide evidence
- To preserve memory

What legislative requirements are there?

- Crimes Act 1958 (Vic)
- Electronic Transactions (Victoria) Act 2000 (Vic)
- Evidence Act 2008 (Vic)
- Freedom of Information Act 1982 (Vic)
- Health Records Act 2001 (Vic)
- Information Privacy Act 2000 (Vic)
- Protected Disclosure Act 2012 (Vic)
- Public Records Act 1973 (Vic)

Who is responsible?

- The Vice Chancellor
- General Manager, University Records and Policy
- Heads of budget divisions
- Every member of staff

1. University records management program

1.1 The University will capture and maintain records to:

- support the University’s day-to-day business activities
- provide evidence to ensure accountability
- preserve the University’s corporate memory.

1.2 The University’s records management program will comply with all relevant legislative requirements, and reflect best practice standards.

1.3 The Vice-Chancellor is responsible for the University’s records management program, in accordance with the Public Records Act 1973 (Vic). The General Manager, University Records and Policy is responsible for implementing and monitoring the records management program.

1.4 Records will be organised, managed and protected in conditions appropriate to their context and nature, and to University needs. Records will be preserved so that they remain usable and accessible for as long as they are required.
2. Record creation, capture, control and storage

2.1 All staff are responsible for creating, capturing and managing records in relation to their University duties, in accordance with this policy and related procedures.

2.2 Where possible, staff must store records in the enterprise recordkeeping system (HP TRIM) or one of the University’s enterprise business information systems. Otherwise, records must be stored in a local recordkeeping system.

2.3 Custodians of enterprise business information systems are responsible for ensuring that the system complies with the International Council on Archives Principles and Functional Requirements for Records in Electronic Office Environments, and the requirements in this policy and related procedures.

2.4 Heads of budget divisions are responsible for ensuring that:

- full and accurate records are kept in relation to the key functions of the budget division.
- University records for which their budget division and its work units has responsibility are managed effectively.
- local record management practices are in accordance with this policy and related procedures.

2.5 Temporary University records will be managed by the budget division or work unit creating the record. Records Services and University Archives will store and manage permanent University records.

- What are appropriate systems to support the capture, control and storage of records?
The key document to help you know how long a record has to be kept is the Retention and Disposal Authority.

The RDA gives minimum time periods for the retention of different types of records.

Records can be retained longer, but need to consider privacy and FOI implications.

Available in pdf or as a searchable database at:
http://www.unimelb.edu.au/records/RDA/
4. Access to University records

Who can have access?

- Available to staff for the purposes of their work
- Other requests managed with the access procedure:
  - Over 30 years old, through the University Archivist
  - Under 30 years old, through Records Services and the business area

Managing security

- Who should have access to which records?
- What privacy implications are there?
- How do systems manage security for the records that they hold and remain compliant with our requirements?
  - Using cloud systems for the storage of university records

Freedom of Information

- Individuals may apply for access to University records under the provisions of the Freedom of Information Act 1982 (Vic) (FOI Act).
- If a staff member receives a request to access records under the provisions of the FOI Act, they must immediately forward the request to the University Secretary.
Benefits of good records management

- Single source of truth
- Compliance with legislative and other requirements
- Time saving/effort saving
- Consistency of approach
- Establishment of the whole record
What help is there to support the policy?

• Records Services

  A dedicated team of records professionals, designed to support the management of records within the university

  • Administer and implement TRIM
  • Provide consultancy support to business areas
  • Manage permanent transfers in conjunction with the Archives

• Local records co-ordinators

  • Individuals in business areas identified with local responsibility for records management
  • Meet approximately 5 times a year
  • Provides consistency in practice across the university

• Systems – including TRIM

• Support materials
  • Continuous improvement program
• University wide RM system
• Deals with RM issues such as retention, access, control
• Meets compliance requirements for RM Standards