

Records Management Policy

POLICY NO: C-

DATE OF APPROVAL:

REFERENCE AUTHORITY: Director Council Services & Chancellery

CROSS REFERENCES:

[State Records Act 1997](#)

[Freedom of Information Act 1991](#)

[Evidence Act 1929](#)

[Public Finance and Audit Act 1987](#)

[Treasurer's Instructions](#)

[State Records Guidelines for Records Management](#)

[AS ISO 15489 Australian Standard Records Management](#)

[Joint National Health and Medical Research Council / Australian Code for the Responsible](#)

[Conduct of Research](#)

[Code of Ethical Conduct](#)

[A 46.4 Confidentiality of Students' Personal Information](#)

[C 20.2 University Activities Policy](#)

[University Activities - Intellectual Property: Ownership and Commercialisation Guidelines](#)

Preamble

The purpose of this policy is to promote consistent and coherent records management processes and practices which govern records from their creation, through their effective use, to disposal or preservation as archives. The purpose of records management is to ensure that records of evidential quality are created, managed and disposed of in accordance with legal requirements. Enduring records document the University's corporate memory, providing the principal source of continuity. Ultimately, preserved University records contribute to the history of the community and state which the University serves.

University records are valuable and often vital assets which facilitate daily functioning and operations. Records of transactions need to satisfy a variety of legal, administrative and audit conditions. Well managed records are invaluable aids for policy formulation and decision making. They demonstrate accountability in our processes. Records help protect the interests of the University and its employees, students, industry partners and other clients, by enabling the University to make effective use of known precedents and organisational experience.

"Official records" are any records that are made or received, by any person in the course of exercise of official functions of the University, or for any University purpose. [Section 3 *State Records Act 1997*]. This includes records in any format for example paper, electronic, audio, video, film, photographs, publications and microfiche. But excludes temporary drafts, copies, ephemeral notes or records included in library, museum or art gallery collections not otherwise associated with the University's functions

Records managed according to an explicit, approved regime ensure the University meets its legal obligations for recordkeeping and is able to respond adequately to external review processes, for example Freedom of Information and the State Ombudsman. The University manages its records in compliance with the State Records Act 1997 and with the State Records Guidelines for Records Management.

Policy

The University of South Australia will create, manage and preserve official records to comply with relevant legislation and to facilitate management of University business.

The purpose of records management is to ensure that records of evidential quality are created, managed and disposed of in accordance with legal requirements.

Ownership

Consistent with University Activities Policy and Guidelines on Intellectual Property, all University records are the physical property of the University, not the individual member of staff who created or received them. As such they are subject to the requirements of the State Records Act 1997 and other relevant legislation and guidelines. All University staff are responsible and accountable for keeping accurate records of their teaching, research, student and administrative activities in accordance with University procedures and systems.

Creation

Staff responsible for managing a function will ensure that records documenting business activities are created for that function. Every transaction requires the creation of a record, whether data entry, email or a written note.

Capture

All official records need to be captured into the agreed and approved records management system for the function they document or to which they relate. For example: student records are captured in Medici; financial records are captured in Finance One,

Access

Records need to be both secure and accessible. All official University records systems will have an explicit access regime, specifying where records are held, who may access which records, and describing the security and authentication process. Appropriate access to records includes maintaining records in a format which ensures that they can be read when required. Decisions about who may access records need to include consideration of personal privacy, commercial confidentiality and legal professional privilege issues. Different regimes need to be considered for physical and electronic records to ensure appropriate access to official records is restricted and to ensure records are reliable. All University records are subject to *Freedom of Information Act 1991* and SA government's *Information Privacy Principles*.

Reliability

Records should be created at the time of the transaction or incident to which they relate, or soon afterwards, by individuals who have direct knowledge of the facts or by instruments routinely used within the University to conduct the transaction.

Integrity

Records need to be complete and unaltered to enable them to provide evidence of transactions. Records will be protected against unauthorised alteration. Authorised annotation, addition or deletion of a record will be explicitly indicated and traceable.

Retention

Records will be retained as long as required to meet legal requirements and administrative efficiency. Routine administrative records will be retained according to State Records General Disposal Schedules. Other University records will be retained according to the University Records Disposal Schedule. Permanent records are those records identified for continuing

retention. Permanent records evidence the University's policies and/or contribute to the University's memory for scientific, cultural or historic purposes.

Disposal

Disposal Schedules specify minimum periods of retention. Records which are no longer required by the University and which lack long term value to the community or other stakeholders, as expressed in appropriate disposal schedules, will be destroyed. Disposal is action which renders the record inaccessible and/or unreadable.

Storage

Records will be stored on media that ensure they are useable, reliable, authentic, and preserved for as long as needed. Systems using electronic records will be designed to ensure records are appropriately migrated if their retention is needed beyond the life of the system. Where migration occurs, detailed records will be kept documenting the variations in record design and format. Records which need to be retained beyond their immediate administrative use will be managed as archives. Archives are records relocated to long term storage for preservation beyond their immediate business function, including permanent records.

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