

**Policy Title: Records Management**

**Policy Owner: Manager, Information Management and Archive Services**

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4) Archives**

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**1. INTENT**

- 1.1 The University's business records are valuable, and in many cases, vital University assets. Business records provide documentation of the University's activities and decisions, support customer services and business processes, and enable the University to meet its legal, administrative and audit obligations. In the longer term, the business records represent the University's corporate memory, providing a principal source of business continuity.
- 1.2 The University recognises its responsibility to provide for the management and preservation of University business records in accordance with the *State Records Act 2000 (WA)* and prevailing community standards of best practice.
- 1.3 This policy will:
  - facilitate the management of University records as a University asset and information resource in order to meet operational business needs.
  - provide the framework for underlying procedures and guidelines on the record keeping roles and responsibilities of all employees in the University; and
  - facilitate ECU's compliance with the requirements of the State Records Act 2000 (WA).

**2. ORGANISATIONAL SCOPE**

All ECU Staff

**3. DEFINITIONS**

TERM	DEFINITION
Record	A record is defined as any of the following by the <i>State Records Act 2000 (WA)</i> : <ul style="list-style-type: none"><li>• anything on which there is writing or Braille;</li><li>• any map, plan, diagram or graph;</li><li>• any drawing, pictorial or graphic work, or photograph;</li></ul>

	<ul style="list-style-type: none"> <li>anything on which there are figures, marks, perforations, or symbols, having meaning for persons qualified to interpret them;</li> <li>anything from which images, sounds or writings can be reproduced with or without the aid of anything else, and</li> <li>anything on which information has been stored or recorded, either mechanically, magnetically or electronically.</li> </ul>
<b>University business records</b>	<p>University business records :</p> <ul style="list-style-type: none"> <li>relate to, document, or provide evidence of business activities of an individual staff member, faculty, school or centre, or of the University as a whole;</li> <li>record decisions, decision-making processes, advice and/or direction;</li> <li>support the corporate memory of an individual area, be it a school or centre, and/or the University as a whole.</li> </ul> <p>University business records are the University's original or primary record of business activities, as opposed to a duplicate copy or draft/working copies. Business records should be captured in the University recordkeeping system.</p>
<b>University Record Keeping system</b>	<p>The system used to capture, maintain and provide access to business records over time that displays features for ensuring authentic, reliable, complete and usable records that function as evidence of business transactions. The University Official Record Keeping System is HPCM (formerly TRIM).</p>

#### 4. POLICY CONTENT

- 4.1 This policy should be read in conjunction with the University's Record Keeping Manual.
- 4.2 *Records Management Program.*
- 4.2.1 Under the Records Management Program, formalized standards, procedures, systems and controls will be established to provide effective records management to support the operations of the University and enable statutory requirements and other accountability requirements to be met.
- 4.2.2 Under the State Records Act 2000 (WA), responsibility for the Records Management Program rests ultimately with the Vice-Chancellor. The Vice-Chancellor has the authority to set and issue standards in relation to records management and to monitor and audit compliance with those standards.
- 4.2.3 Implementation of the Record Management Program is the responsibility of the Manager, Information Management and Archive Services, assisted by the staff of Information Management and Archive Services (IMAS).
- 4.3 *Creation and capture of Records*
- 4.3.1 Staff are required to create business records which adequately document the activities and decisions of the University in which they take part and to capture those records into the University Record Keeping System (HPCM or formerly TRIM)

#### 4.4 *Protection of Records*

- 4.4.1 Under the State Records Act, University records are State Records. Staff are to handle business records sensibly, and with care and respect so as to avoid damage to the records and to prolong their life-span. Staff must not alienate, relinquish control over, damage, alter or destroy business records of the University without proper authorisation.

#### 4.5 *Disposal and Destruction of Records*

- 4.5.1 The retention and subsequent disposal of University records must comply with the authorised West Australian University Sector Disposal Authority (WAUSDA). Staff who wish to initiate the disposal of University business records are required to contact Information Management and Archives Services.
- 4.5.2 Any record subject to legal processes such as discovery & subpoena or required for internal or external review or investigation or relevant application made under the Freedom of Information Act 1992, must be protected and not destroyed, even if the retention period has passed.
- 4.5.3 Hardcopy records must be maintained as hardcopy unless scanned to the University record keeping system or University business information systems with controls and specifications in place as directed by the *State Records Office General Disposal Authority for Source Records*. [http://www.sro.wa.gov.au/sites/default/files/gda\\_for\\_source\\_records\\_2016002\\_-\\_june\\_2016.pdf](http://www.sro.wa.gov.au/sites/default/files/gda_for_source_records_2016002_-_june_2016.pdf)

#### 4.6 *Archival Records*

- 4.6.1 Archival records at Edith Cowan University consist of those records having:

- archival value in the West Australian University Sector Disposal Authority (WAUSDA)
- archival value in the State Government General Disposal Authority for State Government Information.
- archival value based on their historical value to the University. For example, collections of non-current records of the University's predecessor institutions as well as samples of current records that will in time represent the look and feel of University life in the 21<sup>st</sup> Century and beyond.

- 4.6.2 Some archival records created by ECU are State Archives, and in accordance with the State Records Act 2000 (WA), must be transferred to the State Records Office when the archive becomes 25 years old.

- 4.6.3 Should a State Archive form part of the University archive collection, approval will be sought from the State Records Office of WA to hold the record permanently at the University. State Archives held by the University must remain accessible to the public. Requests to access State Archives must be lodged with University Information Management and Archive Services. While the majority of records held in University Archive facility are publically accessible, some material is restricted due to its fragility, confidential nature and/or privacy provisions.

## 5. ACCOUNTABILITIES AND RESPONSIBILITIES

- 5.1 Record keeping operations are to be carried out on a devolved basis within Schools and Centres in accordance with centrally approved policies and standards. Managers have direct accountability for the effective management of records relating to their functions and for ensuring that staff adhere to the provisions of this Policy and the University's Record Keeping Manual.

5.2 In relation to this policy, the following positions are responsible for the following:

The Policy Owner, The Manager, Information Management and Archive Services has overall responsibility for the content of this policy and its operations in ECU.

ECU staff are required to comply with the content of this policy and to seek guidance in the event of uncertainty as to its application.

## 6. RELATED DOCUMENTS:

6.1 Other documents which are relevant to the operations of this policy are as follows:

- Edith Cowan University Record Keeping Plan
- This Policy should be read in conjunction with the University's [Record Keeping Manual](#).

### *Legislative Framework*

State legislation, Commonwealth legislation and Australian Standards establish the conditions and standards by which records management and record keeping practices in the University will be guided. These include:

- Australian Standard: Work Process Analysis for Record Keeping AS 5090 2003
- International Standard: Records Management AS ISO 15489 1 2002 Part 1
- General/AS ISO 15489 2 2002 Part 2 Guidelines
- State Records Commission Principles and Standards 2002
- International Standard: AS ISO 23081.1-2006 Information and documentation – Records management processes – Metadata for records

### *Relevant legislation includes:*

- *Copyright Act 1968 (Cth)*
- *Copyright Amendment (Digital Agenda) Act 2000 (Cth)*
- *Criminal Code 1913 (WA)*
- *Electronic Transactions Act 2003 (WA)*
- *Evidence Act 1906 and Act Amendment (Evidence) Act 2000 (WA)*
- *Financial Management Act 2006 (FMA) (WA)*
- *Auditor General Act 2006*
- *Freedom of Information Act 1992 (WA)*
- *Privacy Act 1988 (Cth)*
- *Public Sector Management Act 1994 (WA)*
- *State Records Act 2000 (WA)*

## 7. CONTACT INFORMATION

For queries relating to this document please contact:

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## 8. APPROVAL HISTORY

Policy Approved by:	Vice-Chancellor
Date Policy First Approved:	14 May 2001
Date last modified:	April 2019
Revision History:	<p>Reviewed and updated October 2010</p> <p>Reviewed and updated August 2014</p> <ul style="list-style-type: none"> <li>• Rename of TRIM to reflect change of product name and inclusion of more generic definition of the University's recordkeeping system;</li> <li>• Clarification of the scanning requirements of the State Records Office General Disposal Authority</li> <li>• Rename of the general disposal authority to reflect change to WAUSDA.</li> </ul> <p>Reviewed with no updates required April 2018</p> <p>Reviewed and updated April 2019</p> <ul style="list-style-type: none"> <li>• Updated to reflect change in business unit and position titles in Information Management &amp; Archive Services (IMAS).</li> <li>• Update of definition: Official Records to University Business records.</li> <li>• Inclusion of Business Information Systems in 4.5.3.</li> <li>• Update of Record Keeping system product name.</li> <li>• Inclusion of Schools and Centres – 5.1 (clarifying the responsibility for record keeping in the devolved record keeping model at ECU.</li> </ul>
Next Revision Due:	April 2022
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