



POLICY

Policy Title: Records Management Policy

Policy Owner: Manager, Records and Archives Management Services

Keywords: 1) Records 2) Record Keeping 3) State Records Act
4) RM8

Policy Code: PL057 [ad022]

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1. Intent

- 1.1 The University's Records are valuable, and in many cases, vital University assets. 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, 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 Official Records in accordance with the *State Records Act 2000 (WA)* and prevailing community standards of best practice.
- 1.3 This policy will:
 - facilitate 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 compliance with the requirements of the *State Records Act 2000 (WA)*.

2. Organisational Scope

All ECU staff

3. Definitions

TERM	DEFINITION
Record	<p>A record is defined as any of the following by the <i>State Records Act 2000 (WA)</i>:</p> <ul style="list-style-type: none"> • anything on which there is writing or Braille; • any map, plan, diagram or graph; • any drawing, pictorial or graphic work, or photograph; • anything on which there are figures, marks, perforations, or symbols, having meaning for persons qualified to interpret them; • anything from which images, sounds or writings can be reproduced with or without the aid of anything else, and • anything on which information has been stored or recorded, either mechanically, magnetically, or electronically.
Official Records	<p>An Official Record is the University's original or primary record of business activities, as opposed to a duplicate copy or draft/working copies. Official records should be captured in the Official records management system, Official records:</p> <ul style="list-style-type: none"> • 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; • record decisions, decision-making processes, advice and/or direction; • support the corporate memory of an individual area, a faculty, school or centre, and/or the University as a whole.
University Recordkeeping System	<p>The system used to capture, maintain and provide access to Official 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 RM8 (formerly TRIM or TERMS).</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, formalised 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 Program is the responsibility of the Manager, Records and Archives Management Service, assisted by the staff of Records and Archives Management Services (RAMS).

4.3 Creation and capture of Records

- 4.3.1 Staff are required to create 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, RM8

4.4 Protection of Records

- 4.4.1 Under the State Records Act, University Records are State Records. Staff are to handle 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 Records of the University without proper authorisation.

4.5 Disposal and Destruction of Records

- 4.5.1 Official Records must not be damaged, altered or destroyed except in accordance with authorised University Records disposal schedules.
- 4.5.2 Any record subject to legal processes such as discovery & subpoena or required for internal or external review or investigation or relevant to an 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 Staff who wish to initiate the disposal of Records are required to contact Records and Archives Management Services.
- 4.5.4 Official hardcopy Records must be maintained as hardcopy unless scanned to the University Record Keeping System in accordance with the State Records Office General Disposal Authority for Source – RD2009027.

4.6 Archival Records

- 4.6.1 Archival Records at Edith Cowan University consist of those records having:
- archival value in the approved 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 the University life in the 21st Century and beyond.
- 4.6.2 Some archives 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 to hold the Record permanently at the University. State Archives held by the University must be accessible to the public. Requests to access State Archives must be lodged with Edith Cowan University Records and Archives Management Services. While the majority of Records held in Archives are publicly available, some material is restricted due to its fragility, confidential nature and/or privacy provision.

5. ACCOUNTABILITIES AND RESPONSIBILITIES

- 5.1 Record keeping operations are to be carried out on a devolved basis 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 Records and Archives Management has overall responsibility for the content of this policy and its operation 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 operation of this policy are as follows:

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

6.2 *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:	August 2014
Revision History:	<p>Reviewed and updated October 2010 Reviewed and updated August 2014</p> <ul style="list-style-type: none">• Rename of TRIM to reflect change of product name and inclusion of more generic definition of the University's recordkeeping system;• Clarification of the scanning requirements of the State Records Office General Disposal Authority• Rename of the general disposal authority to reflect change to WAUSDA.
Next Revision Due:	August 2017
File Reference	File No: SUB/980