



UNIVERSITY OF
CANBERRA

AUSTRALIA'S CAPITAL UNIVERSITY

Memorandum

To: Professor Stephen Parker – Vice-Chancellor

From: Mr David Formica, Acting Vice-President Operations

Date: 01 December 2014

Subject: University of Canberra Records Management Program Approval

The *University of Canberra Records Management Program* has been developed and finalised after consultation with the Territory Records Office.

Upon signature, this document replaces the previous 2010 version.

The *University of Canberra Records Management Program* key points are:

- The *Territory Records Act 2002* (the Act) requires ACT Government Universities to have an approved Records Management Program.
- The *University of Canberra Records Management Program* complements the existing information management framework, policies and is a strategic document supporting the organisational objectives and outcomes. Addressing all of the elements set out in section 16 of the Act
- This Program for the University of Canberra has been developed, in consultation with the Territory Records Office, to ensure that all the items in the checklist have been answered with a "Yes".

(The Act) Principle 1 of Standard 1

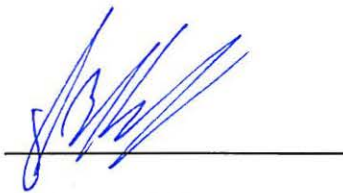
In being signed off by the Principal Officer of the University of Canberra, as defined at Section 8 of the Act:

- This Records Management Program meets the requirements of the Act for approval.

As required under Section 17(3) of the Act:

- A copy of the Records Management Program for the University of Canberra will be given to the Director of Territory Records immediately after approval of the Program.
- Will be on the University's RAMS website and is made available to the public.

The attached program is for your consideration and signature.



Stef Batts-Cirilli

Deputy Director, Customer Services Group
Information and Technology Management



Philip Costley

Acting Director
Information and Technology Management



David Formica

Acting Vice-President Operations



**UNIVERSITY OF
CANBERRA**

University of Canberra

Records Management Program

Incorporating

Records Management Policy

And

Records Management Procedure

Including

Digitalisation Plan – Financial Records

[illegible]

University of Canberra
Records Management Program

Table of Contents

SECTION 1 – RECORDS MANAGEMENT PROGRAM: INTRODUCTION.....	5
1. Distinct and identifiable (Principle 1 of Standard 1)	5
2. Compliant with the Act (Principle 1 of Standard 1).....	5
3. Approved (Principle 1 of Standard 1)	5
4. Given to the Director of Territory Records (Principle 1 of Standard 1).....	6
5. Implementation (Principal 3 of Standard 1)	6
6. Available for inspection by the public (Principle 1 of Standard 1)	6
7. Consistent with administrative directions of Government (Principle 1 of Standard 1)	7
8. The responsibility of an identified senior manager (Principle 1 of Standard 1).....	7
9. Contains a compliant Records Management Policy (Principle 2 of Standard 1)	7
10. Contains compliant Records Management Procedures (Principle 3 of Standard 1).....	7
11. Measured and reviewed (Principle 4 of Standard 1)	7
12. Approval by the Principal Officer (Principle 1 of Standard 1)	9
SECTION 2 – RECORDS MANAGEMENT PROCEDURES: POLICY	10
14. Agency recordkeeping requirements.....	10
15. Full and accurate records.....	10
16. Ownership of records	10
17. Responsibilities of staff in relation to recordkeeping	10
18. Records Management Procedures.....	11
19. Recordkeeping Standards	11
20. Relationship to other policies	11
21. Review of policy and procedures.....	11
22. Introductory Procedures Material	12
Purpose.....	12
Compliance by all staff.....	12
Scope	12
Date and Duration	12
23. Recordkeeping environment	12
Recordkeeping System	12
Records Management Principles	13
Outline of the legislative environment	14

Acts for which the University of Canberra has responsibility	14
Recordkeeping standards employed	15
24. Resourcing the Records Management Program	15
Financial resources	15
Human resources	15
25. Recordkeeping practices and business rules	19
The Record Keeping System	19
Email as a Record	19
Digital Signatures	21
Managing Webpage Records	21
Managing Web 2.0 Records	22
Managing Electronic Records in Shared Drives	22
Creating a Functional Folder Structure	22
Security Classification of Folders and Documents	23
Describing records	23
Controlling records	23
Changing records	23
Making and Capturing Records	23
Locating Records	24
Storage and Movement of Records	25
Preservation of Records	26
Disposal of records	28
Public Access and Use	32
26. Other compliance information	36
Notification of outsourcing	36
Examination by Director of Territory Records	36
Dispute resolution	36
Compliance Reporting	37
Records Management Program explanatory documentation	37
27. Program evaluation and review	37
Performance measurement and evaluation	37
Provision for review of Program	38
SECTION 4 RECORDS MANAGEMENT PROGRAM: BUSINESS SYSTEMS	39
Business System Descriptive Elements	40

SECTION 1 – RECORDS MANAGEMENT PROGRAM: INTRODUCTION

The *Territory Records Act 2002* (the Act) requires ACT Government Universities to have an approved Records Management Program. This introductory section of the Records Management Program deals with characteristics of the Program and administrative arrangements that affect it.

1. Distinct and identifiable (Principle 1 of Standard 1)

This is the Records Management Program for the University of Canberra. It complements the existing information management framework, policies and is a strategic document supporting the organisational objectives and outcomes.

2. Compliant with the Act (Principle 1 of Standard 1)

This Records Management Program for the University of Canberra:

- addresses all of the elements set out in section 16 of the Act; and
- will meet all of the requirements set out in the Standards and Codes released by the Director of Territory Records under the Act.

This Records Management Program follows the sample Program contained in the Guideline. This Program for the University of Canberra has been checked to ensure that all the items in the checklist can be answered with a “Yes”.

3. Approved (Principle 1 of Standard 1)

In being signed off by the Principal Officer of the University of Canberra, as defined at Section 8 of the Act, this Records Management Program meets the requirements of the Act for approval.

This Records Management Program meets the requirement of Section 17 of the Act, because:

- it complies with approved Standards and Codes; and
- the agency has notified the Director of Territory Records as to which approved functions from the *Whole of Government Records Disposal Schedules* are appropriate for the records created by that agency; and
- the Records Management Program contains all the arrangements required under Section 16 (2) of the Act; and
- in relation to records that could allow people to establish links with Aboriginal or Torres Strait Islander heritage, it has consulted with the Territory Records Advisory Council.

The Principal Officer’s approval is evidence that appropriate resources are available to enable the Program to be established and maintained. The approval indicates that all the elements outlined above have been satisfied. The contents of the approved Records Management Program will be promulgated throughout the agency in a way that enables all employees to know of the Program and its contents.

4. Given to the Director of Territory Records (Principle 1 of Standard 1)

As required under Section 17(3) of the Act, a copy of the Records Management Program for the University of Canberra will be given to the Director of Territory Records immediately after approval of the Program.

5. Implementation (Principal 3 of Standard 1)

As Principal Officer of the University of Canberra, I ensure that this agency complies with its Records Management Program, which will be implemented by the following means:

- The University of Canberra's Records Management Program provides suitable performance indicators and directions and targets, as appropriate, to enable inclusion as a result area in corporate plans and where appropriate Annual Reports, on matters relating to the University of Canberra's records management.
- All of the University of Canberra's records are stored in an appropriate and secure environment. The roles, authorities and responsibilities of all staff of the University of Canberra in relation to recordkeeping are defined and promulgated to all staff.
- Relevant position profiles and duty statements reflect the records management skills required by the University of Canberra.
- Programs may have appendices that are part of the Program and provide explanatory material to aid in stakeholder understanding or usability of the Records Management Program.
- Training is available for records management and general staff in recordkeeping skills and responsibilities. Records Disposal Schedules have been approved by the Director of Territory Records under section 17 (1)(b) of the Act for the agency's functions and their use is monitored.
- Performance measurement forms an integral part of the Program.
- The Agency's Records Management implementation is reported on annually in accordance with current Annual Report Directions issued by the Chief Minister and Cabinet Directorate.

6. Available for inspection by the public (Principle 1 of Standard 1)

Section 21 of the Act requires that Records Management Programs must be available for inspection by the public. After approval by the Principal Officer, this entire Program (subject to the qualification below) will be available free of charge:

- During ordinary working hours at the office of the Principal Officer, and
- On the Internet and findable using common search terms, by commonly available search engines.

In addition, copies of the Records Management Program may be made available for public inspection at other places on other media.

Where elements of the University of Canberra Records Management Program refer to the existence of documents affecting relations with the Commonwealth and the States, or affecting the enforcement of the law and the protection of public safety which should not be made available to

the public, the University of Canberra will release a modified version of the Program, which protects this information. This echoes the practice of the *Freedom of Information Act 1989*.

7. Consistent with administrative directions of Government (Principle 1 of Standard 1)

The Records Management Program for the University of Canberra acknowledges, where relevant, administrative directions of the Government, and meets these requirements.

Specific administrative directions with which this Program is consistent are:

- Government-acknowledged reports that provide explanation of Administrative Arrangements Orders, such as the report, "Governing the City State: One ACT Government – One ACT Public Service", February 2011; and
- Government-acknowledged reports that impact on recordkeeping and records management, including the report by Enterprise Knowledge Pty Ltd, "Digital Recordkeeping Pathway", August 2011; and
- Any other Government-acknowledged reports that are relevant to the operation of the Records Management Program for the University of Canberra

8. The responsibility of an identified senior manager (Principle 1 of Standard 1)

The Deputy Director, Customer Service Group is the University of Canberra's Executive in charge of records management, including this Records Management Program.

9. Contains a compliant Records Management Policy (Principle 2 of Standard 1)

The Records Management Program of the University of Canberra provides a structure for reliable, systematic and well-managed recordkeeping within a framework of consistent and accountable implementation. This is achieved by monitoring established policies and procedures that govern recordkeeping matters in the University of Canberra.

Section 2 Records Management Programs: Records Management Policy contains the Records Management Policy for the University of Canberra.

10. Contains compliant Records Management Procedures (Principle 3 of Standard 1)

The Records Management Procedures of the University of Canberra specify how the policy will be implemented. They detail the practical requirements of recordkeeping and identify responsibility for each of the tasks in the recordkeeping process.

Section 3 Records Management Programs: Records Management Procedures of this Records Management Program contains the Records Management Procedures for the University of Canberra.

11. Measured and reviewed (Principle 4 of Standard 1)

Principle 4 of *Territory Records Office Standard for Records Management No.1 - Records Management Programs* requires agencies to establish review mechanisms and performance measures for their recordkeeping and Records Management Programs.

Recordkeeping systems of the University of Canberra are regularly audited in order to ensure that they continue to comply with regulatory requirements, that they remain relevant to the agency's needs and in order to make improvements to current systems.

This Records Management Program contains the Records Management measurement and review strategies for the University of Canberra. This includes a list of the performance measures against which Records Management policy, procedures, implementation and review are measured.

The whole of the Program is reviewed not less than every 5 years. In practice the University of Canberra adopts a staged approach where a single element of the plan is identified for review in a given period.

The University of Canberra Records Management Program can be delivered only with suitably trained and skilled staff. In accordance with the responsibilities outlined elsewhere in this Program, the University of Canberra implements the following requirements:

- Training in Recordkeeping skills covers all staff and delivers skills and awareness of differing levels according to the exposure of each person to the University of Canberra compliance records management requirements.
- It also covers records in all formats and all of the University of Canberra recordkeeping systems, including the University of Canberra nominated functions from the Whole of Government Thesaurus of Terms and the Whole of Government Records Disposal Schedules.
- Business Unit Contact Officers document recordkeeping training courses attended by staff and encourage participation in the training courses available.
- If required the University of Canberra will request assistance, advice and training from the Director of the Territory Records Office.
- A skills audit ascertaining the training requirements of the University of Canberra staff is undertaken at intervals of no more than 12 months. Using industry competency standards as a benchmark, gaps and existing skills are identified and documented as the means for future planning.

12. Approval by the Principal Officer (Principle 1 of Standard 1)

In accordance with Section 8 of the *Territory Records Act 2002* I, Vice Chancellor of the University of Canberra, hereby approve the records management policy and procedures applying in the University of Canberra.

In accordance with my responsibilities, I:

- Approve the University of Canberra Records Management Program and provide a copy to the Director of Territory Records;
- Have sought and obtained certification from the Director Territory Records for any aspects of the Records Management Program where non-compliance is necessary for the University of Canberra operations. Apart from these specific aspects (if any), the approved Records Management Program complies with the requirements of the Act and its associated codes; and
- Make the University of Canberra Records Management Program available for public inspection with any exempt material, such as documents affecting relations with the Commonwealth, the States and Territories, or affecting the enforcement of the law and the protection of public safety, or affecting privacy, clearly identified.



Prof Nick Klomp, Acting Vice-Chancellor
Signature of Principal Officer

24.12.14

Date of Promulgation

SECTION 2 – RECORDS MANAGEMENT PROCEDURES: POLICY

13. Preamble

The *Territory Records Act 2002* requires ACT agencies to have, and to comply with, a Records Management Program. This policy outlines the Records Management Program for the University of Canberra and details how the University of Canberra will adhere to the requirements of the Act.

14. Agency recordkeeping requirements

The University of Canberra makes, manages and keeps records to support its business needs, legal and regulatory obligations, and broader community expectations. An analysis of these requirements, and an outline of the types of records that this analysis reveals the University of Canberra must make and keep, is given in the University of Canberra's Records Management Procedures (Section 3 below).

15. Full and accurate records

The making and keeping of full and accurate records of the University of Canberra's activities is essential to attain its stated outcomes. It is essential therefore for all staff to make and keep full and accurate records of their activities, to ensure that such records are incorporated into the University of Canberra's recordkeeping system (TRIM) and to comply with all records management procedures.

16. Ownership of records

All records made or received by the University of Canberra are the corporate property of the agency. All records that staff make, receive and maintain as part of their duties belong to the University of Canberra and no records belong to individual employees. The University of Canberra retains control of all records required for service delivery in accordance with *Standard No.5 – Recordkeeping and Outsourced Government Business*, and ownership of records and/or the intellectual property they contain is clearly specified in every outsourcing contract.

17. Responsibilities of staff in relation to recordkeeping

All staff, at University of Canberra, are responsible for recordkeeping.

The Deputy Director, Customer Services Group is the University of Canberra's Executive in charge of records management and is responsible for ensuring:

- compliance with all parts of the University of Canberra's Records Management Program; and
- the University of Canberra's Records Management Program are kept updated to reflect all recordkeeping requirements that the University of Canberra must meet (including the administrative directions of government, in Section 1 above).

Managers and supervisors at all levels are responsible for ensuring that staff under their direction, including consultants and contractors, meet all the requirements of this Policy and the associated Procedures. Records management is as important a part of their supervisory and management functions as any other part of their functional responsibilities.

Certain staff have specific, duty statements mandated records management responsibilities. They have a responsibility to know the recordkeeping procedures in detail, to model good recordkeeping behaviour and to assist other staff in applying the requirements of the Policy and procedures.

All staff have responsibilities in relation to the records of the function they perform. In particular they are required to make accurate records of their activities, to ensure that such records are incorporated into the University of Canberra's recordkeeping systems and to comply with all records management procedures.

18. Records Management Procedures

This Policy is supported by the University of Canberra's Records Management Procedures (Section 3 below).

These detail the way all staff in the University of Canberra will make, modify, use, handle and care for records, how, and for how long records will be kept, and how access to them will be provided.

The University of Canberra will only meet the requirements of the Territory Records Act 2002 if all staff follow the procedures. Therefore adherence to the requirements of both this Policy and the Records Management Procedures is obligatory for all staff.

19. Recordkeeping Standards

The University of Canberra will conform to the *Territory Records Act 2002* and *Territory Records Office Standards for Records Management*. This Policy and the University of Canberra's Procedures have been developed in conformity with both the Act and the Standards. In cases where recordkeeping issues arise which are not covered by the Policy or Procedures the University of Canberra will seek and follow advice from the Territory Records Office and be guided by the Australian Standard on Records Management, AS ISO 15489.

20. Relationship to other policies

Other the University of Canberra policies cover issues related to records management. This policy is not to be seen as subordinate to them. In the case of any apparent contradiction between policies the issue is to be referred to the Executive in charge of records management for resolution.

The Executive in charge of records management is responsible for seeing that related policies are progressively examined to ensure that they reflect the requirements of this policy without detracting from their own purposes. Such examinations will be completed by 1st March 2015.

This Policy is consistent with the University of Canberra's Code of Conduct and the ACT Government's Code of Ethics.

21. Review of policy and procedures

This Policy will be reviewed by 1st March 2015. The Executive in charge of records management is responsible for initiating this review.

The Executive in charge of records management may also initiate a review of this Policy at an earlier date if circumstances make it appropriate to do so. Circumstances that would be likely to make such

a review appropriate include a major change in the functions of the University of Canberra or significant administrative change in it.

SECTION 3 RECORDS MANAGEMENT PROGRAM: PROCEDURES

The *Territory Records Act 2002* (the Act) requires ACT Government Universities to have an approved Records Management Program. Principle 3 of *Standard No.1 – Records Management Programs*, issued under the Act, requires Programs to be implemented. This section contains procedures by which the University of Canberra will implement its Records Management Program, based on its Records Management Policies (Principle 2 of Standard No.1).

22. Introductory Procedures Material

Purpose

These Records Management Procedures for the University of Canberra detail the means by which the University of Canberra will implement its Records Management Policies (Section 2 above).

Compliance by all staff

All staff of the University of Canberra must comply with these Procedures. Where functions are outsourced, the outsourcing contract specifies the extent of compliance with these procedures by staff under the outsourcing contract.

Scope

These Procedures are designed to be a complete guide for staff of the University of Canberra. In accordance with Section 8 of the *Territory Records Act 2002*, Statutory Office holders who are declared as principal officers under regulations are required to maintain their own records procedures. To assist those officers, provision has been made for them to adopt the Records Management Program and Policy.

Date and Duration

These Procedures apply from the date of approval of Section 1 of the Records Management Program of the University of Canberra by its Principal Officer under the Act. They remain in force until reviewed.

23. Recordkeeping environment

Recordkeeping System

The University of Canberra holds records in a range of formats, such as paper, electronic and microfilm. It operates with recordkeeping systems for paper-based and digital records. The University of Canberra currently has two primary recordkeeping systems:

- **TRIM 5.24** which is used to manage existing paper records, and
- **HP Records Manager 8** which is being used for the management of electronic records.

The paper-based system comprises:

- University of Canberra staff responsible for, and have the skills to manage, the University's files; TRIM 5.24 database for the management of all current personnel records;
- Action officers who understand the processes and procedures for requesting files to be created, accessed and retained by the University of Canberra;
- A Records Management Policy that enforces the proper use of files to record business activity;
- Procedures and guidelines that describe the capture, maintenance, and provision of access to the files;
- A collection of paper files;
- The *Whole of Government Thesaurus of Terms* that assists in retrieval, classifying records, titling and indexing of records;
- Equipment and stationery (standard file covers, file clips, compactus, computers etc);
- The *Whole of Government Records Disposal Schedules* that ensures legal disposal of paper files and records; and
- Records management software that controls the capture, use, access, storage and disposal of the University of Canberra's files.

The electronic system comprises:

- HP Records Manager 8
- Microsoft Word Documents
- Microsoft Excel Documents
- Digital documents in portable document format (pdf files)
- Other digital document formats in use by the agency

The majority of these are maintained within the University of Canberra's shared corporate drives. The University of Canberra corporate drives do not have complete recordkeeping functionality.

Some electronic records are maintained on data discs. Data discs can only support records of short duration as they are unstable and likely to be inaccessible in time. The University of Canberra has a system to maintain electronic records of lasting value.

Records Management Principles

The University of Canberra adopts the key principles of records management as outlined in The Australian Standard on Records Management, AS ISO 15489:

- Records are made, received and used in the conduct of business activities. To support the continuing conduct of business, comply with the regulatory environment, and provide necessary accountability, the University of Canberra makes and maintains authentic, reliable and useable records, and protects the integrity of those records for as long as required. To do this, the University of Canberra has carried out a comprehensive records management program that has included:

- Determining what records should be made in each business process, and what information needs to be included in the records;
- Deciding in what form and structure records should be made and captured, and the technologies to be used;
- Determining what metadata should be made with the record and through records processes and how that metadata will be persistently linked and managed;
- Determining requirements for retrieving, using and transmitting records between business processes and other users and how long they must be kept to satisfy those requirements;
- Deciding how to organize records so as to support requirements for use;
- Assessing the risks that would be entailed by failure to have authoritative records of activity;
- Preserving records and making them accessible over time, in order to meet business requirements and community expectations;
- Complying with legal and regulatory requirements, applicable standards and public service policy;
- Ensuring that records are maintained in an appropriate and secure environment;
- Ensuring that records are retained only for as long as needed or required; and
- Identifying and evaluating opportunities for improving the effectiveness, efficiency or quality of its processes, decisions, and actions that could result from better records creation or management
- Rules for creating and capturing records and metadata about records are incorporated into the procedures governing all business processes for which there is a requirement for evidence of activity.
- Business continuity planning and contingency measures ensure that records that are vital to the continued functioning of the organisation are identified as part of risk analysis, protected and recoverable when needed.

Outline of the legislative environment

Acts influencing the Records Management Program of the University of Canberra include:

- *Territory Records Act 2002* (which details the requirements for recordkeeping for Territory agencies)
- *Public Sector Management Act 1994* (which establishes 'accountability to the government for the ways in which functions are performed' as a key value of the ACT Public Service)
- *Freedom of Information Act 1989* (which allows public access to Territory records and gives members of the public the right to see records about themselves).
- *Privacy Act 1998* (which protects members of the public from the misuse of information about themselves and which gives people a right to see records about themselves).
- *Evidence Act 1971* (which provides that a court may need to examine records as evidence of an agency's decisions and actions and which details requirements relating to the authenticity of electronic records)

Acts for which the University of Canberra has responsibility

- *University of Canberra Act 1989*

A full list of Legislative Responsibilities can be found on the [University website](#).

Recordkeeping standards employed

The University of Canberra adopts the recordkeeping standards contained in the Act, and the Standards and associated Guidelines issued by the Director of Territory Records under the Act.

24. Resourcing the Records Management Program

Financial resources

Expenses of the operation of the Records Management Program will be met from the University of Canberra's normal budgetary arrangements.

Human resources

All staff must keep and maintain records. The making and keeping of full and accurate records of the University of Canberra's activities is mandatory.

a) Principal Officer

The University of Canberra's Principal Officer has statutory responsibility under the Act for ensuring that the Records Management Program is created, approved, implemented and adhered to.

b) Senior Manager with responsibility for records management

The Principal Officer has appointed a Senior Manager to have responsibility for delivering the Records Management Program of the agency and reporting to the Principal Officer on its delivery. The Senior Manager is responsible for:

- compliance with external Records Management standards;
- the implementation of internal recordkeeping practices;
- ensure all personnel are aware of their individual responsibilities to create and keep records in corporate recordkeeping systems in accordance with the agency's Records Management Program;
- ensuring that recordkeeping systems underpin and support business processes;
- the appointment of a Records Manager to manage the day-to-day records management of the agency; where necessary, the creation of a Records Management Unit to assist the Records Manager; approval of Procedures that are included in the agency's Records Management Program;
- ensuring new and existing personnel under their control undertake recordkeeping awareness training; ensuring full and accurate records of business activities are made and kept;
- developing performance measures to evaluation measures, and implementing those measures, to meet corporate objectives and relevant standards; and
- review and update the Records Management Program on a rolling basis such that the entire program is reviewed and updated at least every five years.

c) Records Manager

The University of Canberra's Records Manager has overall day-to-day responsibility for the University of Canberra's records management including responsibility for:

- Ensuring compliance with the University of Canberra's Records Management Program including:
 - strategic planning for records management activities, including resourcing, staffing and budgeting; assigning records management tasks to identified positions;
 - incorporating recordkeeping principles into all business processes;
 - obtaining expert advice where required on records management issues and practices; meeting all reporting requirements;
 - arranging appropriate resources allocation to enable the program to be established and maintained, in accord with the Principal Officer's commitment in Section 1;
 - monitoring that staff charged with specific records management responsibilities are appropriately trained and managed for that task;
 - implementing performance measures and evaluation measures to meet corporate objectives and relevant standards; and
 - implementing reviews and updates of the Records Management Program on a rolling basis such that the entire Program is reviewed and updated at least every five years.

d) Records Management Staff

The University of Canberra's Records Manager is responsible for identifying staff with records management responsibilities and ensuring appropriate duties are outlined in position descriptions. These duties cover:

- Designing, developing and maintaining recordkeeping systems including the development and maintenance of functions-based thesaurus;
- Applying thesaurus terms from the *Whole of Government Thesaurus of Terms* to files to ensure consistent classification, titling and indexing;
- Making new files (whether paper files or electronic containers) and closing files;
- Accepting non-current files for storage, managing the storage of records, and providing a retrieval service; Providing training in recordkeeping principles and practices;
- Facilitating public access to records in cooperation with the University of Canberra's FOI officers; Appraising and developing the functional *Whole of Government Records Disposal Schedules*; and Sentencing records to determine retention periods against the *Whole of Government Records Disposal Schedules*.

e) All Staff

Good Recordkeeping is practiced by staff as a normal part of everyday business processes. Staff will fulfil their Recordkeeping responsibilities by adhering to the University of Canberra's policy and procedures for records management. Staff responsibilities are to:

- Make accurate and full records as evidence of their business activities;
- Identify, classify, and capture records including electronic records, into official recordkeeping system(s); and
- Protect and dispose of records using approved disposal schedules.

f) Managers & Supervisors

Records management is as important a part of managers' supervisory and management functions as any other part of their functional responsibilities. Therefore, managers and supervisors at all levels are responsible for encouraging staff under their direction meet all the requirements of the Act by complying with the University of Canberra's policy and procedures for records management. It is the responsibility of every business manager to support recordkeeping practices and processes of their staff by:

- Ensuring their staff attend an introductory recordkeeping course;
- Facilitating access to tools, procedures and expertise to help them carry out their recordkeeping responsibilities; and
- Encouraging compliance with the University of Canberra's Records Management Program within their area(s) of responsibility;
- Having detailed knowledge of business recordkeeping requirements in areas for which they are responsible; Knowing the Records Management Procedures in sufficient detail to be able to meet their responsibility; Being familiar with the principles of records management;
- Ensuring that records are made as evidence of business activity and are captured into official recordkeeping system(s);
- Providing guidance and on the job training in good records management practice;
- Ensuring that understanding of records management reaches the required standards; and
- Monitoring that the records management procedures are implemented.

g) Human Resource Managers

The University of Canberra's induction and general training programs include basic records management principles, processes and practices and the need to comply with the University of Canberra's Records Management Policy and Procedures. Furthermore, the selection criteria should be review regularly for all record positions to ensure they are kept up to date with current concepts and principles.

h) Webmaster & Intranet Manager

It is essential that web-based records, whether provided in-house or outsourced, are identified and maintained, in line with the University of Canberra's records management policy and procedures. As such Webmasters are responsible for monitoring compliance. The document owners are responsible for version control on the Internet and the intranet.

i) System Administrators

System administrators are responsible for maintaining the University of Canberra's electronic Recordkeeping systems including maintaining the integrity and authenticity of electronic records and their associated metadata.

j) Contractors and Consultants

Contractors and consultants are required to adhere to all relevant parts of the University of Canberra's policy and procedures manual including the need to make and keep full and accurate records.

k) Exit Protocols

When staff, consultants or contractors leave the University of Canberra all records must be captured onto the University of Canberra's Recordkeeping systems and those records not needing to be retained are treated through normal administrative practices.

25. Recordkeeping practices and business rules

The Record Keeping System

The AS/ISO Standard for Records Management 15489 defines a Record as: information created, received, and maintained as evidence and information by an organization or person, in pursuance of legal obligations or in the transaction of business. The *Territory Records Act 2002* requires an agency to make and keep full and accurate records of its activities.

The types of record formats held by the University of Canberra include:

- Paper, microfilm, digital;
- Documents, files, maps, plans, drawings, photographs etc.;
- Data from business systems, word-processed documents, e-mail, digital images; Electronic messages
- Audio & video; and
- Handwritten documents.

Some of the types of records found in the University of Canberra include:

- Administrative records – e.g. procedures, forms and correspondence
- Accounting records – e.g. invoices and bank account details
- Project records – e.g. correspondence and product development documentation
- Case files – e.g. student records and personnel files

The records held by the University of Canberra can be separated into four categories:

- Vital records
- Corporate records
- Ephemeral records
- Personal and reference material

Email as a Record

Email is an integral part of the business communication of the University of Canberra. They are used to create official records and must be managed appropriately.

In order to maintain their value as evidence, emails cannot be altered or manipulated, for as long as they are retained, either in the body of the text or in an attachment to the message.

Who keeps the record?

The responsibility for capturing the record in the University's recordkeeping system is determined by:

- The initiator of the email sent within the University must capture the record
- The initiator of an email sent outside the University must capture the record
- The initiator will link the email to the relevant file number in the University recordkeeping system
- The receiver of an email from outside the University must capture the record.

Email String

The recipient of the message should make their own decisions as to whether they are involved in the business transaction of the message or whether they are only receiving a copy for interest. If you are provided with a "CC" or "BCC" requiring no action, see deleting email section below.

If the message is subsequently forwarded to other recipients, with added content, the message has become a new record and again needs to be captured into the University's recordkeeping system.

Deleting Email

Before any email is deleted from the University's email system a decision on whether or not it is a record needs to be made. If an email is personal, junk, require no action or spam – it may be deleted at any time.

When messages from IT system administrators are received asking for the deletion of emails to provide space on group drives it is the responsibility of individual officers to capture any emails that are corporate records into the University's recordkeeping system.

Digital Signatures

Emails may have one of two types of digital signatures:

- An encrypted or digital seal
- A scanned image of a signature

Some areas of the University make use of digital signatures for the encryption and authentication of email. These digital signatures are valid only for the period specified.

Managing Webpage Records

The publication of a webpage is a business transaction and is therefore subject to the University of Canberra Records Management Program. The web cannot be considered a recordkeeping system, as it only retains information for the period it is published.

University website records must be:

- Captured into an identifiable recordkeeping system at the point of creation;

- Captured as full and accurate records and include all metadata and embedded links to other resources including documents (word processing, spreadsheets etc.), graphics, sound, music, video, images and animations that constitute part of the record;
- Accessible as provided for by the *Territory Records Act 2002* and *Freedom of Information Act 1989*.

Effectively stored, preserved and managed in the University recordkeeping system to ensure the records remain accessible, usable, reliable and authentic.

Managing Web 2.0 Records

Web 2.0 involves interactive information sharing and user-centred design and collaboration.

When determining which records generated by web 2.0 applications must be retained, the following questions should be considered:

- Was this tweet/YouTube video/Facebook post created, sent or received in the course of University business?
- Does it document a decision?
- Does it provide advice?
- Is it required to be kept by ACT legislation?

Managing Electronic Records in Shared Drives

Shared drives do not have the functionality to serve as recordkeeping systems. Shared drives should only be used as an interim storage location for records before they can be placed into the University's electronic recordkeeping system, RM 8. Records that have been printed from the shared drives can be managed in TRIM 5.24, however, the preferred option is that born digital records be managed in RM 8

Creating a Functional Folder Structure

The titles for the activity folders must be taken from the appropriate approved thesaurus, which is the ACT Government Whole-of-Government Thesaurus of Classification Terms.

A third level of folders may be added with subject terms. The ACT Government Whole-of-Government Thesaurus of Classification Terms contains a range of subject terms that may be used to title subject folders.

An example of the folder structure drive address is:

R:\FUNCTION\ACTIVITY\Subject\Free text Title\document.doc

Documents storage at:

- folder level one (Function), is not permitted,
- folder level two (Activity), is not permitted,
- folder level three (Subject) has conditional permission,
- folder level four (Free Text Title) has permission.

In context, the definition of free text titling means it follow an agreed naming convention and is monitored for compliance. It does not mean that the documents can be titled the in a random manner.

Security Classification of Folders and Documents

Documents requiring national security classifications above Confidential usually will not be stored in shared drives.

Why is security important?

Security is important for all records but the nature of electronic folders and documents makes them, without appropriate safeguards, relatively easy to access, alter or delete either intentionally or unintentionally. It is especially important to restrict access to material that has sensitivity or security issues.

Electronic folders that are to contain sensitive or security classified documents or other material should apply an appropriate classification marking by including at the end of the folder name the approved abbreviation of the classification marking in brackets, (e.g. <folder name> (SIC) for Staff-In-Confidence).

Describing records

Records need to be described so that they can be retrieved when required.

There are six minimum descriptive elements for University records:

- Date
- Creator
- Title
- Identifier
- Management history
- Use or Movement history

Controlling records

Descriptive information about who made, accessed or carried out tasks on records helps to ensure their reliability and authenticity. Assigning unique control symbols to records makes it easier for agencies to identify missing or fraudulently made records.

Changing records

If records require amendment for any purpose, information about the purpose and nature of the change and the authorisation for it must be recorded in the use and management histories for those records - a note must be added to the TRIM file. Requests for changes to records must be sent to rams@canberra.edu.au

Making and Capturing Records

a) Creating records

The University is required to make and keep accurate records and the creation of records is a fundamental aspect of the management of any business operation.

Much of the work of University staff results in:

- Automatic creation and capture into the recordkeeping system, or.
- Procedurally based decision to be made, i.e. will they have to account for that action later?

In cases where decisions are made as part of a process with established procedures and criteria, the records must clearly show that established criteria have been consistently applied. Where a decision-maker departs from the norm, the reasons for doing so should be documented.

b) Who May Request a File's Creation?

Anyone within the University Community may request a file's creation.

c) What is the University Community?

All Campus Units which have as their governing authority the University Council. Campus Units include divisions, schools, centres, units, departments and student organisations.

d) When Should a Record Be Created?

Records should be created at the time of, or soon after, the event they relate to. They should be made by individuals or systems that have direct knowledge of, or involvement in, the facts of the event. This is essential for the accuracy and authenticity of the record.

Locating Records

a) Locating a record

All Records are to be stored in appropriate and secure environments. University records are stored;

- at or near users workstations
- in unit repositories
- RAMS on-site, and
- RAMS offsite storage service providers.

b) Access to Records

Records are corporate property, may contain confidential, financial, personal and private information. Access is controlled on a "need to know" basis. Access to record is:

- on the basis that it is for authorised work purposes, by RAMS.
- Restricted by locked and access controlled by keys and/or swipe card.

- Unit procedures outline how staff will access the records that they need to carry out their work.

c) Finding records

Information is made about records as they are made, captured and received. Recordkeeping systems use this information to find records. It is usually accessible to staff in the form of indexes, registers or other searchable metadata.

The University Recordkeeping System for the management of paper records, TRIM 5.24, is accessible to any University staff in areas supported by the Registry. Maintain by RAMS staff with inquiry level staff access.

Access to the University Recordkeeping System for the management of electronic records, HP Records Manager 8, is managed by training and procedurally based decisions for the level of access required. RM8 managed that access and security.

Storage and Movement of Records

a) Storage

Australian Standard AS 4390 - Records Management defines storage as the records management function of storing records for future retrieval and use.

How records are stored depends upon a number of factors:

- *The purpose and use of a record,*
- *The physical form of the record,*
- *How long the record will be retained, and*
- *It's accessibility including security precautions because of the threat to the information contained within the record.*

The corporate records of the University are stored both on-site and off-site. The University Archives consist of a number of facilities dispersed around the University under the control of the RAMS.

b) Office Storage

Action Officers are responsible for the safe care and custody of corporate records that are in their possession. This is primarily while the records are in use and is mostly within the office environment. Corporate records, of any type and in any format, ensure they are stored in a locked container when not in use.

For the purposes of this program, it includes magnetic media:

- computer diskettes,
- compact and optical discs,
- computer, video and audio tapes, and
- tapes used in digital recording processes such as DAT.

c) Security

The University's corporate information security is the concern and the duty of care of every member of its staff. This material is characterised by, its unauthorised release, by disclosure, loss, compromise, misuse or damage of which would reasonably be expected to cause harm (including financial harm) to the legitimate activities of the University.

Over classification and under classification, must be avoided

d) Breaches of Security

Any breaches in security or suspected unauthorised access to classified material, is reported to the University's Audit and Governance office.

e) Movement of Records

All records being transported around the University via the "Internal Mail System" must be contained within an envelope for security purposes. Additionally, UC staff must:

- track all movement on the file cover and electronically in TRIM 5.24.
- not remove corporate files from the work place, shared with other organisations or sent to courts, without informing the "The Proper Person" and RAMS.

f) Who is Responsible for the Care and Custody of Files?

Corporate records, when passed to you, are your responsibility.

Preservation of Records

a) Preservation Strategies

University of Canberra, focus on keeping records useable for as long as they are required.

The most effective strategy is to ensure that all staff treat records carefully, to implement adequate storage standards and record handling practices, and to use archival quality materials for records expected to have a long life.

Preservation of electronic records requires strategies to migrate records to new systems in such a way that the records can be maintained as reliable, authentic evidence over time

b) Disaster prevention and recovery

There are a variety of definitions for disasters with some distinguishing disasters from emergencies which are:

- The definition of a minor disaster is 'that although affected, the agency is still able to open for business'.
- The definition of a major disaster is 'an event that makes it necessary for the agency to cease operation or in some cases seek an alternate site of operations, while the situation is rectified'.

The University has conducted a Risk Assessment to identify potential threats to its physical and digital records. In some cases the creation of an access record to replace the official, which is preserved separately.

c) Vital Records

Vital records are to be the main priorities for recovery and salvage efforts when a disaster occurs. Vital records are not necessarily valuable in monetary terms, but income and liabilities would qualify. Records are to be recovered in accordance with vital records schedules and priorities set for each functional area.

d) Special arrangements for preserving records containing information that may allow people to establish links with their Aboriginal or Torres Strait Islander heritage

The University must conservatively manage any records that contain information that may allow people to establish links with their Aboriginal or Torres Strait Islander heritage. The legal source for this approach is the *Territory Records Act 2002* and this includes any subordinate legislation, Notifiable instrument or Disallowable instrument.

Section 16(i) of the Act requires agencies to make arrangements for preserving records containing information that may allow people to establish links with their Aboriginal or Torres Strait Islander heritage.

Section 17(1)(d) requires agencies to consult with the Territory Records Advisory Council about such arrangements before the Principal Officer approves the agency's Records Management Program.

The ACT Government's response to the Bringing Them Home report included a commitment to assist Indigenous Australians to trace links to their families and communities.

A survey in 2001 of Aboriginal and Torres Strait Islander records in the custody of the ACT Government concluded that:

"... there are few records in the custody of the ACT Government that contain names or other details of any significant number of people July 2012 39 identified as Indigenous which would be of use in assisting family reunion."

It listed some such records and noted that individual records containing name and family information about Indigenous people that could potentially assist in family reunion may be discovered serendipitously from time to time. Procedures must therefore include arrangements for preserving such records where they exist or are discovered.

See also Territory Records Office Records Advice No. 60 – Managing Aboriginal and Torres Strait Islander records and Records Disposal Schedule – For preserving records containing information that may allow people to establish links with their Aboriginal and Torres Strait Islander heritage.

Disposal of records

a) Appraisal of records

Territory records cannot be destroyed or otherwise disposed of without first being appraised. Territory Records Office Standard for Records Management No 2 – Appraisal details the requirements for appraisal of records.

Government records are an important source of information and evidence about the jurisdiction to which they relate. The ACT Government seeks to preserve Territory records for the benefit of all Australians. The appraisal process determines which records meet these criteria and should therefore be preserved and made accessible for research. Appraisal also examines accountability and business requirements in order to determine when records, which do not meet these criteria, have served their accountability and business purposes and can therefore responsibly be destroyed.

Some Territory records will be retained and preserved as archives. These are records that document:

- The significant policies and actions of the Territory.
- The interactions of government with the people and their environment.
- The social, political, cultural and economic development of the Territory as it is influenced by government activity.

b) Functional Records Disposal Schedules that apply to the agency

Records Disposal Schedules are a systematic and comprehensive listing of categories of records made and/or kept by the University, which plans the life of those records from making to ultimate disposal or use as Territory Archives. The Records Disposal Schedules document whether records should be retained or destroyed once they are no longer required to meet business needs, the requirements of agency accountability and community expectations. Retention periods set down the minimum periods only and the University may keep records for longer periods if considered necessary for business requirements.

The use of nominated functions from the Whole of Government Records Thesaurus of Terms and is monitored by the University.

The University nominates the following functions:

ACCOMMODATION SERVICES
COMMUNITY RELATIONS
COMPENSATION
EDUCATIONAL AGREEMENTS

EQUIPMENT AND STORES
ESTABLISHMENT
FINANCIAL MANAGEMENT
FLEET MANAGEMENT
GOVERNMENT RELATIONS
INDUSTRIAL RELATIONS
INFORMATION MANAGEMENT
LEGAL SERVICES
OCCUPATIONAL HEALTH & SAFETY (OH&S)
PERSONNEL
PROPERTY MANAGEMENT
PUBLICATION
RESEARCH MANAGEMENT
STRATEGIC MANAGEMENT
TEACHING & LEARNING
TECHNOLOGY & TELECOMMUNICATION
TERTIARY STUDENT ADMINISTRATION
TERTIARY STUDENT SERVICES

Functions nominated in the RMP may vary with the addition of required functions and the amendment of existing functions.

c) Whole of Government Thesaurus of Terms

The Whole of Government Thesaurus is a controlled vocabulary of terms designed for the use of classifying, titling and indexing of records on creation.

The Whole of Government Thesaurus has been developed on the basis of the Territory Version of Keyword AAA (TVKAAA 2010), a thesaurus which incorporated 16 common functions. All other functions within the Whole of Government Thesaurus are considered functions performed by the ACT Government and have been included following consultation with agencies and after consideration by the Territory Records Office (TRO) via a formal approval process. The terminology used in the Whole of Government Thesaurus is directly linked to the terminology used in the Whole of Government Records Disposal Schedules.

The Whole of Government Thesaurus is mandated by the Territory Records Office for use by all ACT Government agencies as part of their classifying and titling of paper and electronic records.

d) Elements of the Whole of Government Records Disposal Schedules

Functional Records Disposal Schedules should contain the following elements, which are mandatory under the standard:

- Functions (or keywords): the function name, scope note and, where appropriate, date range. These should be consistent with the thesaurus used to name the records and to ensure that making and disposal of records are clearly linked;
- Activities: the activity name, scope note and where appropriate, date range. These terms, too, should reflect those in the Universities' thesaurus. Using the same function and activity terms in the thesaurus and the Records Disposal Schedule makes sentencing easier;
- Description: a brief description of the records included in each disposal class; and
- Disposal Action: the disposal action to be applied to records in each disposal class. This designates what will ultimately happen to the records – whether they are to be destroyed and if so when that destruction is to take place or if they are to be retained as archives.

e) Normal Administrative Practice (NAP)

NAP allows destruction of ephemeral, duplicate or transitory material to be carried out as part of normal University practices and procedures. NAP is not a replacement for approved Records Disposal Schedules, which also form part of the University's Records Management Program, which are the authority for destruction of university records.

Material that can normally be destroyed using NAP includes:

- Working papers consisting of rough notes, calculations, diagrams, etc, used for the preparation of records.
- Duplicates and copies of documents where the original is safely retained within the Universities' recordkeeping system – ensure this is the case before destroying the copy.
- Drafts where the contents have been reproduced in a final document.
- Modifications and updating of data as part of running of established electronic software programs, where such processes do not result in the loss of data of continuing value.

- Published materials used as reference only including pamphlets, leaflets and brochures.
- Information from other organisations which is not essential to the Universities' functions.
- Personal paraphernalia such as invitations, tickets, brochures etc.

The University has two types of information:

- Records required for University business: transactions that provide evidence of business activities
- Material of ephemeral value: Information messages that may have a business context but are not part of a business transaction – for example, notification of a meeting or personal or social messages.

This material does not need to be captured into the University's recordkeeping system and may be destroyed under Normal Administrative Practice (NAP).

Advice and specific examples of NAP record are available from [RAMS](#).

f) Implementing the Whole of Government Records Disposal Schedules

The University of Canberra is implementing Whole of Government Records Disposal Schedules in TRIM 5 for Hardcopy and developing RM8 for digital records. These schedules form the functional structure and are incorporated at the time of creation.

Implementing disposal action for older records is the responsibility of nominated Records Management staff in conjunction with the subject matter experts.

When it is suspected that the disposal class is not, or is no longer fully covered by the schedules, the University of Canberra will set a review period prior to performing any other disposal action.

The University of Canberra will take, under advisement, any special actions as deemed required, by the TRO. This will include "disposal freezes" or any other legally mandated actions.

g) Pre-self-government records

There are several options for dealing with managing the appraisal of pre-self-government records:

- Agencies may retain all pre-self-government records (that is records made prior to 1989) in which case they do not need to be retrospectively appraised. These records will be available for public access under S.26 of the Act from 1 July 2008.
- They may undertake a program to appraise some or all of these records in accordance with the agency Records Management Procedures using approved functions from the Whole of Government Records Disposal Schedules.

h) Authorised destruction of records

The University:

- use only current, approved Disposal Schedules to authorise the destruction of records;
- ensure that sentencing staff are appropriately trained and supervised;
- ensure that Records Disposal Schedules are correctly applied to records; and
- ensure all sentencing decisions are recorded and retained.

i) Secure destruction

Records approved for destruction must be disposed of securely and the information contained in the records should not be retrievable following destruction.

The University's preferred method of destruction for paper records is through the locked bins, the contents of which are pulped. Records in other formats such as floppy discs, computer hard drives, film, video and magnetic tapes should be destroyed by appropriate methods.

Public Access and Use

The *Territory Records Act 2002* provides for a general right of access to records to meet the obligations of government to "support accountability and democratic government and to enrich the community through a source of cultural and collective memory".

The public access provisions of the *Territory Records Act 2002* came into effect from 1 July 2008. This gave the public a statutory right of access to Territory Records that are more than 20 years old. Access to Territory Records is provided by Archives ACT with the support of all Territory agencies.

Access will be given under the Act according to the principles of openness and equity. Records will be presumed to be available for access unless they clearly belong to an exempt category. Access to records will be administered equitably, so that records that are open are open to all people.

a) Assistance to the public

Under Section 27 of the Act the University is required to assist members of the public to make applications for access to records and must comply with any access request are:

- less than 30 days for standard requests, and
- no more than 90 days except for the most complex or large requests.

Applicants should be kept informed of the progress of their request.

b) Exemptions from access (Section 28)

Under Section 28 of the Act, agencies may apply to the Director of Territory Records to have records exempted from public access under a number of provisions set out in the Act. These are provisions from the *Freedom of Information Act 1989* and relate to records:

- affecting relations with the Commonwealth and States;
- affecting enforcement of law and protection of public safety;
- affecting personal privacy;

- subject to legal professional privilege; or
- disclosure of which would be in contempt of the Legislative Assembly or a court.

Section 28 Declarations provide the means by which records containing sensitive information are protected. The agency may apply to the Director of Territory Records for a Section 28 Declaration, which reinstates the provisions of the *Freedom of Information Act 1989* preventing public access to sensitive records.

When such a declaration applies there is no entitlement to access the record under provisions of the Territory Records Act 2002 however access may be permitted under the *Freedom of Information Act 1989*.

Decisions to exempt records from public access can be appealed through provisions in the *Freedom of Information Act 1989*.

To assist with the protection of "sensitive information" in care and protection records from inappropriate public access under the Act, in 2011 the Government amended the Act to allow the Director to complete a Section 28 Declaration for a record or class of records.

The University records covered by Section 28 are detailed below:

Function / Activity	Exemption Category	Explanation	Date Approved
PERSONNEL – Employment Conditions	41	PERSONNEL – Employment Conditions TARDiS 12.39	25 June 2008
FINANCIAL MANAGEMENT – Salaries	41	FINANCIAL MANAGEMENT – Salaries TARDiS 5.96.1	25 June 2008
COMPENSATION	41	COMPENSATION – Cases TARDiS 5.96.1	25 June 2008
PERSONNEL - Salaries	41	PERSONNEL – Salaries TARDiS 12.96.1	25 June 2008

- c) Provision for the regular review of records to which a declaration under Section 28 applies

Because the sensitivity of information decreases with time, records to which a Section 28 Declaration applies need to be regularly reviewed to ensure that the reasons for seeking the Declaration remain current. Procedures must include provision for such regular review. This can be done by specifying that such reviews will occur as will the nomination of a position responsible for undertaking such reviews and liaising with the Director of Territory Records about them.

- d) Access register

Agencies are required to maintain a register of records to which a declaration under Section 28 is in force. The register must include:

- Sufficient detail to identify the records which have been exempted.
- A copy of or reference to the Director of Territory Records' declaration.
- The date of the decision.

e) Access conditions

Agencies may give access subject to conditions that ensure the safe custody and proper preservation of the record.

Such conditions may include requiring researchers to provide proof of identity and a requirement that researchers sign an undertaking to preserve the records and not take any action that will alter, harm, destroy or remove from Territory custody any record or any part of the record.

Any conditions should be clear, advised to all those who request access and applied uniformly and fairly.

Agencies are required to maintain a register of records to which a Declaration under Section 28 is in force.

f) Access facilities and services

The University must be able to provide researchers with a reasonable opportunity to inspect original records, and may therefore need to provide public access facilities. This is made available to all agencies via the ArchivesACT reading room located at the Woden Public Library.

These facilities are secure and researchers are supervised when viewing original records to ensure that there is no possibility of theft or tampering. It is a requirement that these facilities must be accessible for people with disabilities. Where access requires the use of some form of technology, this is to be provided as necessary for use within ArchivesACT.

University records are not removed from custody, altered, marked or amended in any way. To ensure preservation of fragile records users may be asked to wear gloves or take other conservation measures when handling records.

The University must comply with the ACT Public Service Customer Service Standard and Code of Practice when providing access to records.

g) Copying records for researchers

Depending on the circumstances, researchers may be able to have photocopies of print documents, printouts or disks, or networked access to electronic records, audio or videotapes or other suitable copies. Fees for this service have yet been determined under section 55 of the Territory Records Act 2002.

Researchers will be provided with a scanned copy of the University records required. The copy is to be created in line with the requirements specified in the University of Canberra Digitisation Program

h) Copyright

The Territory will generally own copyright in records made by agencies. The maker of the item will normally own copyright in records held but not made by agencies (e.g. letters written by members of the public to agencies).

The provision of copies of records to researchers does not constitute any copyright permission or signing over of any rights in records. This should be made clear to researchers who are provided with copies. Written permission is required from the copyright holder to publish any information from Territory records or any research arising out of access to agency records. It is the responsibility of the person wishing to publish to find and obtain permission from all copyright holders.

i) Cabinet records

Some records are already available for public access under other legislative arrangements. Part 3A of the *Territory Records Act 2002* allows Cabinet records to be release for public access after 10 years.

26. Other compliance information

Notification of outsourcing

ACT Government's procurement guidelines are in the Government Procurement Act 2001. This process of notifying the Territory Records Office is a separate legislative requirement.

The University of Canberra's procedures for outsourcing include the requirement for the University of Canberra's Records Manager, nominated in Section 1, to inform the Director of Territory Records about any arrangements for outsourcing or internal outsourcing all or any part of its records management.

Procedures specifying this are contained in the University of Canberra's procedures for Outsourcing.

Examination by Director of Territory Records

The University of Canberra is committed to providing assistance to the Director of Territory Records to examine the operation of the University of Canberra's Records Management Program and compliance with the Program. The University of Canberra's Records Manager, nominated in Section 1, will liaise with the Director of Territory Records to assist with any examination.

Dispute resolution

Should there be a dispute about whether the University of Canberra is compliant with the Act or the Records Management Program, the University of Canberra's Records Manager, nominated in Section 1, will examine the program. This examination will include the following procedures:

- **Step A** Liaise with the Director of Territory records to determine the nature of the dispute;

- **Step B** Examine the relevant section of the *Territory Records Act 2002* that relates to the dispute and examine the Records Management Standards and Guidelines;
- **Step C** Examine the Records Management Program's Policy and Procedures that relate to the nature of the dispute;
- **Step D** Should the examination show that there are inconsistencies between the Records Management Program and the Act/ Standards and Guidelines, the Act and the Standards prevail and the Universities' Records Management Program will be amended accordingly;
- **Step E** If staff have not adhered to the Policy or Procedures, or there has been an error in the management of the Program, staff are to be counselled in relation to their responsibilities under the program; and
- **Step G** the **Director of Territory Records is to be notified of the action taken to resolve the dispute, and the outcome.**

Compliance Reporting

The University of Canberra will report to the Territory Records Office on its record management activities. The nominated Records Manager will be responsible for this reporting to ensure that:

- The University of Canberra reports to the Director of Territory Records and the Territory Records Advisory Council as required. Reports to the Records Advisory Council may be on such matters as the disposal of records and the preservation of any records that the University may hold about Aboriginal and Torres Strait Islander heritage:
 - Records management performance indicators are incorporated into other areas of the University of Canberra's business reporting framework;
 - Recordkeeping is a key result in all corporate plans; and
 - Recordkeeping performance is included in the University of Canberra's Annual Report.

Records Management Program explanatory documentation

Additional explanatory documentation in relation to the overall records management function of the University of Canberra (e.g. consultant's reports) that provide strategic direction, decisions, or context can be attached to the Program.

Attached as Annex A – is the Digitisation Plan for Financial Records

27. Program evaluation and review

Performance measurement and evaluation

The University of Canberra's Records Manager has responsibility for arranging periodic audits of all aspects of the Procedures to ensure compliance with the rules and practices outlined in them. This monitoring evaluates the performance of the Records Management Program to determine whether it is meeting corporate objectives and relevant standards.

The University of Canberra's performance measures include:

- Operational audits

- Auditing compliance with standards and codes of best practice
- Measuring satisfaction of University staff with the service provided by the Registry.

Provision for review of Program

The University of Canberra's Records Manager has responsibility to review and replace or amend the Records Management Program on a rolling basis, so that the entire Program is fully reviewed at least every five years.

SECTION 4 RECORDS MANAGEMENT PROGRAM: BUSINESS SYSTEMS

A Records Management Program must incorporate reference to those business systems that provide recordkeeping functionality to the University of Canberra's, including legacy systems maintained that still contain records. Reference to each business system, whether still in current use or now closed, must be referred to in the Program.

To aid in the identification and recordkeeping functionality of each business system utilised by the University of Canberra's, a copy of the Business System Descriptive Elements form, which describes each business system against the criteria outlined in *Territory Records Standard – Number 3: Description and Control*, needs to be attached to the Program.

The University of Canberra has identified eight key business systems:

- TRIM 5.24
- HP Records Manager 8
- Finance One
- iCMS
- One Stop
- Alesco
- Callista
- ResearchMaster

Business System Descriptive Elements

A copy of this form is required to be completed for each identified business system that captures records of the agency.

Business System Name:	
Vendor:	
Version Number / Iteration:	
Date Commenced:	
Date Closed (if applicable):	
The Business System includes the following recordkeeping descriptive elements as outlined in <i>Territory Records Standard – Number 3: Records Description and Control</i> :	
Element	Details
Title – provides for a meaningful record title	☐ Yes ☐ No Details if No.
Date – captures dates of when records are created and closed	☐ Yes ☐ No Details if No.
Identifier – assigns a unique, non-repeatable control symbol to each included record	☐ Yes ☐ No Details if No.
Creator – captures details of the record creator	☐ Yes ☐ No Details if No.
Management history – creates user, maintenance, movement etc audits	☐ Yes ☐ No Details if No.
Access and security provisions – captured records are secure from unauthorised access, alteration, destruction etc.	☐ Yes ☐ No Details if No.