

Records Management - Discovery of University Records Procedures

INTRODUCTION

Commonwealth and Northern Territory Government legislation requires that all members of the University community are responsible for proper records management and must contribute to the 'corporate memory' through compliance with University records management policies, procedures and guidelines.

The discovery of University records refers to the practice of being able to locate records promptly and being able to read and readily produce them when required for as long as the records need to be retained.

COMPLIANCE

This is a compliance requirement under the [Information Act 2002](#).

INTENT

This document applies to all members of the University community. It is intended to identify what issues must be considered and applied, to ensure that records can be discovered easily when they are required.

RELEVANT DEFINITIONS

In the context of this document

Corporate Memory means the accumulated body of data, information, and knowledge created throughout the existence of the University;

Metadata means key information identified about a record and used to discover and identify records;

Record means:

- Recorded information in any form (including data in a computer system) that is required to be kept by a public sector organisation as evidence of the activities or operations of the organisation, and includes part of a record and a copy of a record; and/or
- Information created, received, and maintained as evidence and information by an organisation or person, in pursuance of legal obligations or in the transaction of business.

Register means Register of Systems Approved for the Management of University Records;

Short-Term Record means records that are only relevant for short-term use and do not have any bearing on long-term matters. This may include office messages, meeting requests, draft documents with no significant impact upon the final version and personal notes; and

University Community means officials and individuals carrying out University business. This includes, but is not limited to, all staff members, researchers, peer reviewers, students, volunteers, consultants, agents and contractors.

PROCEDURES

Once a record has been captured (refer to the [Records Management - Capturing of University Records Procedures](#)) it must be able to be easily discovered (located) from the time it is captured up until it is legally destroyed (refer to the [Records Management – Retention and Disposal of University Records Procedures](#)).

To ensure this is possible, records must be captured in approved systems and managed consistently and systematically to ensure that records are easily discoverable and accessible for the life of the record (even in the event that the software originally utilised to capture the record may no longer exist).

Approved Systems for the Discovery of University Records

All University systems approved and listed on the Register of Systems Approved for the Management of University Records (the Register) must have workflow processes in place around them to ensure that records remain discoverable. These include, and are not limited to:

- Adequate back-up that ensures records are safe from corruption and/or accidental deletion; and
- Any system or program required to read records must be available to utilise in a timely manner (same day) or if this is not possible, the records must be converted to a long-term archiving format or other suitable format that is readable into the future. For example, a Word document may be converted into a PDF archiving format, or data saved in XML format.

Hard-Copy Records

Hard-copy records must be stored in conditions that will optimise the quality of the records and ensure that they remain discoverable for their required retention periods. Consideration must be given to the following matters:

Built Environment

- Potential External Hazards (fire/flood/explosion/cyclone);
- Location (floodplain, earthquake prone zone, flight path);
- Dedicated area for records storage.

Internal Environment

- Temperature/humidity stability;
- Lighting;
- Fire Protection (sprinkler system/smoke detectors/fire-proof doors);
- Pest/Vermin control;
- Continuous power supply;
- Minimal natural light;
- Work Health and Safety Considerations.

Shelving

- Appropriate to house the format of the record (files/maps/plans/microfilm etc.)

Containers

- Designed to fit the records; and
- Strong enough to withstand handling, pressure and weight of the records they contain.

The University maintains a majority of hard-copy records offsite and considers other matters outlined in the AS/NZS 1015:2011 Australian/New Zealand Standard Records Management – Physical Storage when choosing a storage provider. If the conditions outlined above cannot be met within the University, a request to send the records to an external storage provider should be pursued through the Records and Archives branch.

Records and Archives Branch

The Records and Archives branch is responsible for ensuring that the processes and tools in place are appropriate and suitable to ensure that University records can be discovered, read and readily produced when required for as long as the records need to be retained.

The Records and Archives branch of the University is responsible for:

- Managing the University’s Electronic Document and Records Management System and the administration of that system;
- Assessing systems and work processes for managing University records;
- Maintenance of the Register of Systems Approved for the Management of University Records;
- Conducting regular auditing on records management processes across the University;
- Managing the storage of archived hard-copy University records;
- Developing and reviewing University Records Disposal Schedules;
- Managing the application of retention and disposal of University records; and
- Providing advice on how to implement new processes that involve the management of University records.

ESSENTIAL SUPPORTING INFORMATION

Internal

[Privacy and Confidentiality Policy](#)

[Records Management - Capturing University Records Procedures](#)

[Records Management - Discovery of University Records Procedures](#)

[Records Management - Retention and Disposal of University Records Procedures](#)

[Records Management Policy](#)

External

AS/NZS 1015:2011 Australian/New Zealand Standard Records Management – Physical Storage

AS/NZS ISO 23081-1:2006 Information and documentation – Records Management Processes - Metadata for Records

AS/NZS ISO 13028:2012 – Information and documentation – Implementation guidelines for digitization of records

AS/NZS 1015:2011 Australian/New Zealand Standard Records Management – Physical Storage

[Information Act 2002](#) (NT)

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Document History and Version Control

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Sponsor:	Director, Information Technology Management and Support		
Contact Officer:	Manager, Records and Archives		

Version	Date Approved	Approved by	Brief Description
1.00	19 Sept 2012	Vice-Chancellor	Creation of original document and upload to CDU website.
1.01	17 Jul 2013	Governance	<ul style="list-style-type: none">• Assigned document number• Converted document to current template• Updated and added hyperlinks• Minor changes to wording, grammar and formatting
2.00	5 Nov 2014	Vice-Chancellor	Undertake biennial review of Records Management Procedures suite of documents <ul style="list-style-type: none">• Minor formatting amendments• Update Privacy Policy to Information Privacy Policy
2.01	15 Dec 2017	Governance	<ul style="list-style-type: none">• Conversion to new template due to new University branding• Updated definitions• Updated hyperlinks• Added Sponsor, Director, Information Technology Management and Support• Amended Contact Officer from Manager, Records and Archives, ITMS to Manager, Records and Archives