

Records Management Policy - Interim

Section 1 - Policy Statement

Part A - Policy Declaration

(1) The purpose of this Interim Policy is to guide the development of a records program framework and accountabilities to ensure the creation and maintenance of the University's records consistent with the Strategic Plan.

Part B - Policy Description

Objectives

- (2) This Interim Policy promotes a systematic approach to records management within the University by:
- a. providing a basis for a University-wide recordkeeping program for the management of records across the records continuum - from the design of recordkeeping systems to records disposal or permanent retention;
 - b. ensuring that electronic records are managed as part of a comprehensive recordkeeping program;
 - c. informing University staff of their recordkeeping responsibilities in order that records are managed as a unified corporate resource; and
 - d. ensuring that the University's recordkeeping practices comply with legislative requirements.

Scope

(3) This interim policy applies to all University records created and received by staff of the University and its affiliated organisations including its business enterprises and research centres but not its student associations.

Part C - Content and Implementation

(4) Southern Cross University is committed to meeting its responsibilities under the [State Records Act 1998](#) and to implementing records management practices and systems in conformity with standards and codes of best practice. All practices and procedures concerning records management at Southern Cross University are to be in accordance with this document.

(5) The records of Southern Cross University are a key ingredient in the support of ongoing business activity. They are evidence of this activity and form the majority of our corporate memory. The University is committed to managing its records effectively and efficiently to promote informed decision making, better performance of business activities, improved client service, and protection and support in litigation and the management of risk. The University's records satisfy the necessary legal, administrative and audit requirements. They support consistency, continuity, efficiency and productivity in academic program delivery, research, management and administration.

Records

(6) Records are distinguished from information by the fact that they function as evidence of the teaching, research or other business activities of the University. University records document activity and are necessary for retaining corporate memory and ensuring accountability.

(7) Records can be created in any format, including but not limited to, paper documents, e-mail, electronic documents, photographs, plans, film, sound recording, publication, or other textual, audio-visual or computerised information.

(8) The following are examples of University records:

- a. committee papers (agenda, minutes, attachments)
- b. policy documents
- c. research grant applications
- d. promotional films/videos
- e. working papers
- f. organisational charts
- g. draft programs for conferences
- h. course brochures/leaflets
- i. maps
- j. photographs
- k. reports
- l. handbooks
- m. class timetables
- n. messages
- o. correspondence (internal and external)
- p. agreements/contracts
- q. purchase requisitions
- r. leave applications
- s. petty cash records
- t. media releases
- u. subject outlines
- v. course submissions
- w. lecturer's grade lists
- x. lecturer's assignment mark lists
- y. student's academic transcripts
- z. insurance claims
- aa. application forms
- ab. electronic versions of any of the above

Responsibility (Implementation)

Vice Chancellor and President

(9) Section 10 of the [State Records Act 1998](#) specifies that the Chief Information Officer of the institution has a duty to ensure that the institution complies with the requirements and regulations of the [State Records Act 1998](#).

Executive Director and Vice President (Corporate Services)

(10) Responsibility for the management of University records rests with the Vice Chancellor's designated officer, the Executive Director and Vice President (Corporate Services), who will undertake the establishment of a Corporate Records Unit.

Corporate Records Unit Staff

(11) In conjunction with the Communications Administrator, the Projects Officer will establish and maintain an effective internal records program and associated administrative systems to record/track/retrieve/archive University records in accordance with SCU's obligations under the [State Records Act 1998](#), including making recommendations on recordkeeping policy, procedures and guidelines.

File Station Staff

(12) Divisional Heads, Head of Schools, Directors and Managers shall designate a person or persons, in the office under their authority, to act in liaison with the Corporate Records Unit to be the designated File Station in their area. This includes schools/units based in Coffs Harbour and Tweed Gold Coast Campuses. File Station Staff are responsible for:

- a. identification of University records within their unit that evidence the conduct of business activity;
- b. recording the registration of all University files for their unit into the web interfaced records management database within the SCU Staff Intranet; and
- c. capturing the registration of their records into the web interfaced records management database within the SCU Staff Intranet.

University Staff

(13) Every staff member of the University is responsible for the appropriate recordkeeping of the documents they create and maintain as evidence of business activity. To comply with State legislation, staff have the responsibility to work with their designated File Station staff member to ensure records are maintained appropriately.

Section 2 - Related Policies, Documents, Legislation and Strategic Priorities

Acknowledgement

(14) In developing this Policy the University acknowledges the work of:

- a. Charles Sturt University
- b. Edith Cowan University
- c. Monash University
- d. Office of Information Technology
- e. State Records Office
- f. Sydney Opera House Trust
- g. The Australian National University
- h. The University of Queensland
- i. The University of Sydney
- j. University of Newcastle
- k. University of New England
- l. University of New South Wales
- m. University of Technology, Sydney
- n. University of Western Sydney

Section 3 - Procedures

Guidelines and Procedures

(15) Interim Guidelines and Procedures are being developed by the Corporate Records Unit to assist staff in developing best practice for the management of their records on:

- a. creating and registering records/ University files;
- b. identification of Central files;
- c. classification;
- d. retention; and
- e. disposal.

Status and Details

Status	Historic
Effective Date	14th August 2012
Review Date	14th April 2015
Approval Authority	Vice Chancellor
Approval Date	10th August 2012
Expiry Date	15th August 2018
Head of Work Unit	Clare Thorpe Director, Library Services
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