

Monash University Policy

Policy Title	Recordkeeping Policy
Date Effective	26-March-2013
Review Date	26-March-2016
Policy Owner	Chief Information Officer
Category	Operational
Version Number	2.0
Content Enquiries	archives@monash.edu
Scope	<ul style="list-style-type: none"> • All campuses in Australia • Monash South Africa • All staff • All records created or received by the university in transaction of its business • All functions and activities carried out by the university
Purpose	<p>The University seeks to access and manage its records effectively, and is obliged to create, maintain, preserve and dispose of records to comply with legislation and codes protecting public records, privacy and evidence (as listed in the Related Legislation and Related Documents sections below).</p> <p>This policy explains the requirements of the University's records management program and outlines staff responsibilities to create, maintain and lawfully dispose of corporate university records. It also endorses the preservation of records in the University Archives.</p>

POLICY STATEMENT

A full and accurate record of activities of the University will be created, captured and maintained in systems with appropriate recordkeeping functionality and controls.

As the "officer in charge of a public office", the Vice-Chancellor is responsible for ensuring that the University complies with legislative requirements for recordkeeping.

All managers and supervisors are responsible for monitoring staff under their supervision to ensure that they understand and comply with records management policies and procedures. Managers and supervisors are also responsible for fostering and supporting a culture within their workgroup that promotes good recordkeeping practices.

All members of staff are required to create, capture and appropriately manage records relating to their work, regardless of the format of the records and including records of decisions made and actions taken. Records will be maintained (stored and preserved) in conditions suitable to the length of time they need to be kept and made available for use. This applies regardless of the format of the records or the media they are stored on.

Records and archives will be made available within the constraints of security, confidentiality, privacy and archival access conditions.

Records must only be destroyed in accordance with disposal policies, procedures and guidelines issued or approved by the University Archivist. Records must not be destroyed if they are required, or are reasonably likely to be required in current or future litigation.

Records to be retained permanently are to be transferred to the University Archives for long term preservation and access.

All systems for recordkeeping (technology and work practices) must enable essential recordkeeping functions:

- Creation and capture in the context of the activity recorded;
- Protection of integrity and authenticity;
- Appropriate access and use;
- Security from unauthorised access and use;
- Storage over time; and
- Lawful and complete destruction or retention as an archival record.

Supporting Procedures	Recordkeeping: Retention and Disposal of University Records Procedures (Australia only)
Responsibility for implementation	Vice-Chancellor and President Pro Vice-Chancellor and President, Monash South Africa All managers and supervisors Chief Information Officer Records and Archives Services Branch All staff
Status	Revised
Approval Body	Name: Chief Operating Officer and Senior Vice-President (Administration) Meeting: n/a Date: 26-March-2013 Agenda item: n/a
Endorsement Body	Name: Chief Information Officer Meeting: n/a Date: 25-March-2013 Agenda item: n/a
Definitions	Record: any recorded information made or received by a staff member of the university in the course of undertaking university duties. Records are evidence or information about university activities. They can be any format (electronic documents, e-mail, paper, plans, photographs, etc.) Disposal: the removal of records from an active recordkeeping system for: - destruction or deletion immediately or at a nominated future date; OR retention and preservation in an archive.
Legislation Mandating Compliance	Related Australian Legislation Public Records Act 1973 (Vic) Freedom of Information Act 1982 (Vic) Privacy and Data Protection Act 2014 (no. 60 of 2014) Evidence Act 2008 (Vic) Related South African Legislation Basic Conditions of Employment Act 1997 (No 75 of 1997) Promotion of Access to Information Act 2000 (No 2 of 2000)

	<p>Protection of Personal Information Bill (No 9 of 2009) has been approved by National Assembly Sept 2012</p> <p>Companies Act 1973 (No 61 of 1973): Regulations on Retention and Preservation of Company Records 1983</p> <p>Law of Evidence Amendment Act 1988 (No 45 of 1988)</p> <p>Civil Proceedings Evidence Act 1965 (No 25 of 1965)</p>
Related Policies	<p>Freedom of Information Policy</p> <p>Conduct and Compliance Procedure - Privacy</p> <p>Electronic Information Security Policy</p> <p>Privacy of Student Records Policy</p>
Related Documents	<p>Records and Archives Services index</p> <p>Records and Archives Services Retention and Disposal Authority</p> <p>PROS10/13 Disposal Standard</p> <p>PROS 02/01 General Retention & Disposal Authority for Records of Higher and Further Education Institutions</p> <p>PROS 07/01 General Disposal Schedule for Records of Common Administrative Functions</p> <p>The Australian Code for the Responsible Conduct of Research</p>