VITAL, HIGH-RISK, HIGH-VALUE (V,HR,HV) AND PERMANENT RETENTION RECORDS

DRAFT

The University requires staff to prioritise the management of records that are classified as being:

* **Vital** – these are the top essential records to keeping the business of the University running if a serious event were to impact University sites, information systems and storage operations, etc. Without the ability to retrieve and recover this information, it could seriously impact the ability to operate and continue the business of the University.
* **High-risk** – these are records that are deemed that their protection is necessary due to mitigate any reputational, monetary, harm to persons or property, etc, if they were unable to be: located, proved as authentic, protected from unauthorised access or distribution including unauthorised deletion, data over-written, un-readable due to obsolescence or damage, etc.
* **High-value** – these records are not far from “vital” value. If they were not findable, protected, etc, it would be difficult to continue a seamless relationship with students, staff, industry, state and federal jurisdictions and community contacts. If these records were missing or damaged it would impact on continuance of operational effectiveness and efficiency.

and/or

* **Permanent retention** – records that have enduring value to the University and to Queensland e.g. records of historical and cultural significance.

UQ records in these categories are likely to require a proactive approach to their capture and management for their full-lifecycle, which requires digital continuity assurance to maintain their authenticity, accessibility and readability for as long as they are required to be kept e.g. forever for permanent records.

Existing collection of information and / or data

Business process analysis

Business system analysis

Procurement readiness – record keeping requirements

Preparation for migration of information / or destruction / sun-setting of system

Checklist to assist with determining what needs to happen

*The Records Governance team work with organisational units to determine the “value” to the University of the records they are responsible for. While there can be category generalisations made by referring to the General Retention and Disposal Schedule, and the University Sector Retention and Disposal Schedule, the organisational unit and subject matter experts, have their own layer of compliance and business continuity obligations that may add to the minimum timeframes listed in these retention and disposal schedules.*

As a starting point, please complete the following checklist to guide discussions with the Records Governance team.

1. Please provide contact details for this discussion:

|  |
| --- |
| Name:  Phone No.:  Email address:  UQ Organisational Unit: |

1. Provide a brief background of the information/data/records that you are seeking to determine the retention value of.

|  |
| --- |
|  |

1. Who is the *Information Steward(s) [[1]](#footnote-1)* and *Information Domain Custodian(s)* of the records? \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_
2. Are the records also likely to exist within, or be shared with/connected to another organisational unit? No / Yes please describe \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_
3. Are the records ...

* Paper only
* Electronic only. Where are they stored? E.g. Network shared drive; name of business system ?

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

* Existing in both physical paper format and digital format. Please describe:

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

* Other (e.g. data sticks; CDs; recordings; etc): Please describe

1. Are the records about any of the following contexts?

**Tick all boxes that apply**

* Assets management and maintenance – infrastructure, equipment, property & facilities
* Business cases
* Children and other vulnerable persons
* Complaints and disputes
* Contracts, agreements, MOUs, etc
* Correspondence through the Offices of the Provost and Vice Chancellor
* Donations and bequests
* Employment history - consolidated
* Environmental controls
* Equity and diversity
* Financial reporting
* Gifts, donations and bequests
* Governing body appointments and separations
* Grants and scholarships
* Grievances, misconduct, fraud, corruption
* Hazardous substances management, contamination management, audits, etc
* Health, safety, security and rehabilitation
* Industrial disputes
* Insurance policies and claims
* Intellectual property, Copyright, Brand, Trade Marks, Patents
* Investigations, disclosures, inquiries and judicial reviews
* Licences and compliance certifications
* Litigious events
* Organisational restructuring – establishment and disestablishment
* Policies, procedures and standards – published (current or rescinded)
* Position descriptions – published versions
* Privacy breaches
* Program and curriculum development, implementation and cessation
* Project management
* Reporting – annual reports; financial performance; legislative compliance; etc
* Senate and Academic Board committee papers
* Staff related records
* Statutory powers
* Student related records
* Workplace agreements and awards
* Records of significant events, cultural, controversial, workplace publications, and/or historical happenings affecting/attached to UQ.

**No – None of the above (please describe the records and their value to the organisational unit, and the period of time they cover.)**

****If you **ticked** any of the above they are **highly likely to be regarded as “*vital, high risk, high value*”** to the University and they will need to be organised and preserved in a particular way.

If not already the case, their existence will also need to be registered into the Enterprise Records and Document Management system (TRIM) to facilitate their retention in accordance with legal obligations.

1. Are the records currently also registered into the UQ Enterprise Records and Document Management System (TRIM)?

* Yes. Please comment

|  |
| --- |
|  |

* No
* Don’t know

1. Are you aware of any litigation, Right to Information (RTI) or Privacy applications or disputes that have, or are in process, or could reasonably be anticipated in the future, in relation to the subject of the records?

* No.
* Yes (please comment)

|  |
| --- |
|  |

1. Are there any special security and access requirements to be attached to these records:

Please describe: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

1. Are there any other business risks or other matters that you are aware of that apply to these records?

* No
* Yes (please comment)

|  |
| --- |
|  |

**NOW YOU ARE READY TO ...**

Contact the Records Governance team via email [uqcentralrecords@uq.edu.au](mailto:uqcentralrecords@uq.edu.au) and send this completed checklist to the attention of: Manager Records Management.

The Records Governance team will be in contact shortly.

OR if urgent please phone Marie de Groot, Manager Records Governance – mobile 0409 168 562 - for initial enquiries.

# You might like to also refer to the following additional advice:

* GUIDE TO - Requirements prior to transferring physical records to UQ Central Records (TRIM Ref - D21/28441)
* The University’s Information Governance and Management Framework: <https://coo.uq.edu.au/files/6966/information-governance-management-framework.pdf>
* The University’s Information Management Policy: <https://ppl.app.uq.edu.au/content/6.40.01-information-management-policy#Policy>
* The University’s Destruction of Records Procedure: <https://ppl.app.uq.edu.au/content/6.40.04-destruction-records>

Records can exist in electronic or physical format. A record can be: pdf, Word, Excel, Visio, etc documents; a collective of data stored within a database, that when arranged in context, provide evidence of a business activity/transaction e.g. digital form; an email; a scanned representation of a physical document; a recorded message; etc.

The Records Governance unit works in partnership with all UQ organisational units to look after information that is required to be actively kept as evidence and that needs to be maintained and secured as authentic records with enough context to verify them as sources of truth.

The length of time records need to be retained and preserved for assurance of their authenticity is designated by legislation (minimum requirements) and the ongoing needs of the University (defines the additional time beyond the legal requirements).

PLEASE NOTE: Records whether they are paper or digital/electronic in their format, must not be altered, destroyed or deleted without first being verified and approved as legally eligible for deletion or destruction by UQ’s authorised delegate/s. The Vice-Chancellor has delegated this responsibility to the University’s Records Manager. The process is outlined under UQ Policy and Procedures. i.e. <https://ppl.app.uq.edu.au/content/6.40.04-destruction-records> . This requirement is driven by legislation. UQ must abide by is *Public records Act 2002*.

1. Refer to the University’s *Information Governance and Management Framework*, page 9, for guidance. <https://coo.uq.edu.au/files/6966/information-governance-management-framework.pdf> [↑](#footnote-ref-1)