Operational Procedure

Keeping Records at UQ

1.0 Purpose and Scope

This procedure outlines record keeping requirements at The University of Queensland (UQ) and supports UQ’s Information Management Policy and Information Governance and Management Framework. This procedure applies to all UQ staff that create or receive information in the course of their work at UQ.

For the purposes of this procedure:

- records are ‘enablers and evidence’ of a UQ business activity, decision or transaction and may be in any format (i.e. digital or physical);
- record keeping involves an interaction between people, processes and systems;
- approved ‘UQ record keeping systems’ are UQ IT information systems that have been officially recognised as holding records, and have in place a management plan attached to them for looking after the records they contain.

Examples of UQ records to be kept and approved UQ record keeping systems are outlined in the appendix.

1.1 Legislative context

As a public university, UQ is required to comply with legislative obligations under the Public Records Act 2002 (the Act). Records also are managed under standardised retention and disposal processes issued by Queensland State Archives. Details of these approved retention schedules are provided in section 3.0.

UQ’s record keeping requirements support the Queensland Government’s Records Governance Policy, which aims to lift records management capability within all Queensland public authorities and enable them to establish their own fit-for-purpose records and information governance practices.

2.0 Process and Key Controls

(1) Information that is created or received by UQ staff may be considered as ‘public records’ under the Act and must be kept in approved UQ record keeping systems, details of which are described in the Records Governance - Guide to Systems that Contain Records LINK.

(2) Vital, high-risk, high-value and permanent retention information must be kept in an approved UQ record keeping system. Refer to section 7.1 for definitions and Records Governance - Guide to Vital, High-Risk, High-Value and Permanent Records LINK for more details about these types of records.

(3) Disposal – destruction or deletion, or the transfer of ownership to external party - of records requires approval by an authorised officer.
3.0 Key Requirements

3.1 Record keeping obligations for staff

UQ staff at all levels of the organisation are responsible for meeting the record keeping requirements of this procedure.

Records must be kept in an approved record keeping system to ensure that the information is discoverable and accessible and are managed throughout their lifecycle.

For guidance on the business systems that are approved for keeping records, refer to the: Records Governance - Guide to Systems that Contain Records. [Link]

Records must not be kept in the following places:

- shared drives
- personal hard or cloud drives
- USB drives
- desk drawers
- anywhere that is not a centralised, secure and sustainable system.

3.2 UQ approved record keeping systems

Use of UQ’s approved record keeping systems, as summarised in the Records Governance - Guide to Systems that Contain Records [Link], supports the discoverability and accessibility of information at UQ, and assists staff to meet their record keeping obligations.

The Records Governance – UQ Guide to Systems that Contain Records – [Link] and the UQ Information Asset Register – are resources to assist staff in their day to day information management activities.

3.3 Retention and disposal of records

UQ records are subject to the following retention and disposal schedules:

- General Retention and Disposal Schedule
- University Sector Retention and Disposal Schedule
- General Retention and Disposal for Digital Source Records.

UQ has not adopted the General Retention and Disposal Schedule 'Lite' version.

3.3.1 Retention

Various activities, and the contexts of the records associated with those activities, are likely to have differing requirements for how long they need to be kept. Records retention requirements vary in order to support accountability, and for legal, knowledge and historical reasons. Management of records within a business context and/or system, and the resources needed for their retention, needs to be prioritised based on risks to UQ if the record was unable to be located or authenticated as accurate.

Various UQ business systems can collect records. Formal responsibilities for the protection of records in business systems, are described under the Information Governance and Management Framework.

TRIM is proprietary software designed with full record keeping compliance functionality. It is the university's central record keeping system, a digital repository that accepts records through automated processes, system integration, or through manually means, such as individuals interacting directly in the system day to day. It also tracks the existence and management of physical record collections.
3.3.2 Storage

Storage of records encompasses the following scenarios:

- Records held and maintained within business information systems (digital records);
- Physical permanent retention records boxed up and stored in UQ’s on-site archive facilities;
- Physical records stored with an approved service provider;
- Digital records stored via cloud storage services, utilising approved third-party provider/s.

A register of UQ systems that store records will be maintained and kept in TRIM and monitored by the Records Governance Unit. This register serves as a central point of reference to summarise the UQ record keeping environment - physical and digital records. This register also supports the requirements for UQ’s compliance with the Public Records Act 2002.

3.3.3 Disposal

UQ staff must not dispose of records without authorisation in accordance with the Act. At UQ, the Vice-Chancellor is responsible for authorising the disposal of records and may delegate this responsibility.

The Vice-Chancellor has delegated the responsibility for authorising the disposal of records to the Manager, Records Governance.

The processes and key controls for determining the eligibility of records for disposal apply equally to both physical and digital records.

Disposal encompasses two contexts:

- Transfer of ownership of records to another entity outside of UQ, requiring official documentation to record the need for the transfer, but also to acknowledge the receipt of the records by the new entity; and
- Destruction of records at the end of their useful life and as determined eligible under an approved destruction authority.

3.3.4 Records destruction process

The destroying, deleting of records is covered under UQ’s Destruction of Records Procedure. Under the Public Records Act 2002 records destruction must take place under a process of authorisation delegated by the Vice-Chancellor, and evidence of following the correct process and controls needs to be recorded in UQ’s central records management system (TRIM).

4.0 Roles, Responsibilities and Accountabilities

4.1 Records Governance

Records Governance is responsible for:

- the management of UQ’s records management system (TRIM);
- advising staff on UQ’s record keeping and records disposal obligations under the Public Records Act 2002;
- advising Organisational Units on best practice compliant record keeping strategies, including records capture via business process design for reduced manual overheads and burden on business operations.
4.2 The University of Queensland Archives

In accordance with section (28.2) of the Public Records Act, 2002, the Queensland State Archives (the agency) has permitted the university to create its own permanent archives and store these public records rather than transfer them to Queensland State Archives.

- The University Archivist is responsible for the operational management of the University of Queensland Archives (Archives – Policy).
- The University of Queensland Archives holdings substantiate corporate accountability, reflect administrative history, fulfil legal responsibilities, and enhance societal memory through research, teaching and outreach to the University and greater community.
- The University of Queensland Archives and the Records Governance Unit work collaboratively in the identification, collection and preservation of archival records.

4.3 Information Stewards

The roles and responsibilities or Information Stewards are detailed in UQ’s Information Governance Management Framework. For the purposes of this procedure, Information Stewards are responsible for overseeing the maintenance and audit of the context and authenticity of records within approved information systems under their Information Domain.

4.4 Heads of Organisational Units, Managers and Project Managers

Heads of Organisational Units, Managers and Project Managers are responsible for:

- assessing the types of records they create and receive in their unit or project, and ensuring that they are maintained in accordance with this procedure;
- when new workflows, business processes and systems are to be procured, ensuring that record keeping requirements are incorporated into the planning and procurement process;
- when a business process or system is to be replaced and/or decommissioned, record keeping migration is incorporated into the budgeting and project plan commensurate with the value of the records in the system.

4.5 UQ staff

UQ staff are responsible for:

- using UQ’s approved business information management systems to securely store information;
- ensuring that the storage of physical and digital records is in accordance with the Records Governance guidance – Preparing Records for Archiving and Storage; and
- ensuring that the disposal of records complies with UQ’s Destruction of Records Procedure.

5.0 Monitoring, Review and Assurance

Records Governance will:

- monitor UQ’s compliance with its record keeping obligations under the Public Records Act 2002;
- review this procedure as required to ensure –
  - its currency and accuracy; and
  - that UQ’s processes comply with requirements under relevant legislation; and
• provide training opportunities and awareness-raising materials to enable UQ staff to meet their record keeping obligations under this procedure.

6.0 Recording and Reporting

To support UQ’s record keeping obligations, Records Governance, The University of Queensland Archives and IT Governance will record the existence of vital, high-risk, high-value records (which includes those that need to be retained permanently), within an Information Systems Asset Register, a resource that itemises details of all key UQ business activities/processes, entities that own the system/s and the nature of the records and data within.

Evidence of authorised records destruction will be recorded and captured in UQ’s records management system (TRIM).

Evidence of records held with third-party service providers, is detailed and available for reference through UQ’s records management system (TRIM).

UQ is required to report to Queensland State Archives (the agency):

• maturity level of records governance at UQ – annually – a statement included in UQ’s Annual Report; and
• through completion of a survey distributed by the agency from time to time.

7.0 Appendix

7.1 Definitions

Archives/archival records – The non-current records of the University that are a direct result of administrative or organisational activity and hold permanent status in a current and authorised retention schedule or have continuing or permanent value.

Disposal (of records) – defined under the Act as

• destroying or damaging a record, or part of it; or
• abandoning, transferring, donating, giving away or selling the record, or part of it.

High-risk record – a record which, if it can’t be found, will create an operational, legal, financial or reputational risk for an organisation.

High-value record – this type of record may not be far from being vital or high-risk. These refer to records that have intrinsic value to an organisation, and if they were not findable or protected, it would be difficult to continue a seamless relationship with students, staff, industry, community, and state, federal and global jurisdictions. These records help the University to maintain its reputational relationships, preserve specialist knowledge, or could be of historical significance.

Permanent record – a record of this type is a Public Record of enduring value at a state of Queensland and the university. Records that fall into this category are described in the approved retention schedules. They are artefacts that are historical and/or culturally significant to the Queensland public.

Record – defined under the Act as any recorded information created or received by an organisation in the course of their business or conduct of their affairs. A record provides evidence of activities. This is irrespective of the technology or medium used to generate, capture, manage, preserve and access those records.

Staff – continuing, fixed-term, research (contingent funded) and casual staff members.
Vital record – defined by the Queensland State Archives as records that an agency could not continue to operate without and which would be needed to re-establish the agency in the event of a disaster and satisfy ongoing core business responsibilities. These records are essential to an organisation being able to function.

7.2 Examples of records to keep

The table below has broad examples of common records be kept and managed.

The retention and disposal schedules listed under Item 3.3, provide further descriptions of records needed in various business contexts.

The Records Governance Unit assist staff in translating these schedules to UQ organisational areas and operational contexts.

| Contracts, agreements and memoranda of understanding i.e. any legally binding agreements | Senate and Academic Board records | Committee agendas and minutes | Core financial, student and personnel data and records |
| Academic program development and management over life of program | UQ policies and procedures | Operational health, safety and environmental records | Strategic plans and reports |
| Donors, gifts and bequests | Records relating to cultural collections | Ownership of physical and intellectual property | Patents, Copyright |
| Disaster management and business continuity plans | Occupational health and safety incidents | Misconduct issues | Insurance and licenses |
| Any records that are part of an auditable process under legislative requirements and standards | Any records that support decision making | Any records that are permanent or need to be kept for a long time as described in the retention and disposal schedules. | Approval, decision or instructional correspondence |
| Grants, scholarships and sponsorship case files and arrangements | Procurement and project management case files | Business reporting – internal and to meet external requirements | Correspondence in, through and out of Vice Chancellor and Provosts Offices, Deputy Vice Chancellor Offices, etc |

8.0 Meta Data for Document Management

| Web Links |  |
| Approval Authority | [Position] |
| Last Approval Date |  |
| Next Review Date |  |
| Audience / Users | [by group] |
| Notes |  |