

# Records Management Guidelines



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## Legislative Obligations

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Under the State Records Act 1998 (NSW) Charles Sturt University has an obligation to ensure that the University makes and keeps full and accurate records of the activities it undertakes. Whilst many requirements to create and keep records arise from business processes, there are also a number of laws, regulations, standards and codes of best practice which require or necessitate the making and keeping of records. Some of these are:

- State Records Act 1998 (NSW)
- Standard on records management
- Treasurer's Directives
- NSW Ombudsman's Administrative Good Conduct Information sheet (1997)
- Australian and International Standard AS ISO 15489-2002, Records Management
- ISO 9000 Quality Management Systems
- Audit Office's On Board: Guide to Better Practice for Public Sector Governing and Advisory Boards (1998)

In NSW, requirements to make and keep records also appear in legislation relating to:

- Tax
- Superannuation
- Occupational health and safety, and
- Industrial relations.

All the above and others govern what information must be kept, how that information must be managed and when and how the information may be disposed of. Penalties may apply for failure to comply with these requirements.

## Managing Records

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### Who Owns University Records?

The University owns all records created and received by individual employees as part of their day to day business. This includes research data, teaching materials and correspondence.

### Who Manages University Records?

The majority of University records are managed by the various business units of the University that deal with the contents or subject matter of the records. For example the Division of Human Resources retains and manages all staff records, Student Administration is responsible for all student records. Each business unit is responsible for managing records generated by them.

### Who is Responsible for University Records?

All CSU employees have a responsibility to ensure University records that they create as part of their business role are complete, accurate and managed in accordance with these Guidelines.

Staff should be aware that a breach in their responsibilities could result in a breach of the State Records Act 1998 (NSW) and lead to possible prosecution, which may incur a fine.

Managers and Heads of business units are required to ensure that staff have access and training to the appropriate recordkeeping systems to facilitate the collation and registration of University records relevant to their job. Heads of business units are responsible for ensuring records are disposed of in accordance with authorised disposal authorities and that a Request for an Authority to Destroy Records form is completed prior to destruction.

Senior Management is responsible for ensuring that staff adhere to CSU's Records Management Policy, standards and guidelines and ensuring that adequate resources are available for managing and maintaining University records.

The Manager, University Records is responsible for issuing guidelines, policies, education, training and advice to assist areas to conform to the requirements for University recordkeeping.

## Identifying Recordkeeping Requirements

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There are three (3) main types of recordkeeping requirements:

- Regulatory (or 'accountability' or 'legislative') requirements
- Business (or 'operational') requirements
- Stakeholder (government and public) expectations

Recordkeeping requirements may be stated explicitly in laws, regulations and other instruments of authority, or may be implied by the environments in which the University operates.

They will refer to specific needs for evidence. For example, a requirement may state the need for:

- the *creation* of a record
- its *retention* for a specified period
- its *disposal*
- *access* conditions
- the *content* of the record
- the *form* it should be in
- aspects relating to *quality* that it is a 'proper' record

### What is a Record?

A record is information created, received and maintained by Charles Sturt University and its employees in the transaction of official business or the conduct of affairs, and kept as evidence of such activity.

Records include, but are not limited to, paper and electronic documents, drawings, maps, plans, photographs, microforms, sound and video records, computerised data on tape or disks, CD-ROM, DVD etc.

The following are some examples of University records:

- Agendas (including appendices) and minutes of meetings of formally established University boards and committees including ad hoc committees and working parties
- Students' academic transcripts held electronically or in hard copy format
- Decision taken by employees under delegation which are recorded in memoranda, letters, email messages, reports etc.
- Financial transactions held electronically or in hard copy format
- Personnel transactions (letters of appointment, reports on performance and other dealings between employees and the University)
- Course and Unit outlines
- Applications and other forms completed by students

- Decisions conveyed to students by mail or electronically via email systems
- Lecturers grade lists and assignment mark lists held electronically or in hard copy
- Research grant applications
- Contracts/Agreements/MOU's
- Policies, Procedures and Guidelines created by the University

## **When Does a Document Become a Record?**

Not all documents/information are identified as a 'record'. A document becomes a record at the point in its lifetime when it is:

- sent to others for comment, advice or approval;
- defines a decision making process; or
- contains evidence of business activities.

Some information such as emails, depending on the value of content, are records automatically, because they are transmitted between individuals in the course of business. However, not all records will have a long term value and therefore may not be necessary to keep over time.

## **Determining Which Records to Capture**

The importance of a record is not always apparent when it is first created. If you answer yes to any of the questions below then the information is to be considered as a record and captured into an approved recordkeeping system:

- Is there a statutory requirement to make or keep particular records?
- Has a decision been made which sets a precedent?
- Are there any financial or legal implications that may come under scrutiny to ensure accountability?
- Are you the author of this information?
- Do you require the record so as to be able to report to internal or external bodies?
- Has a decision been made which will impact on another individual, office or the University as a whole?
- Has a decision been made which needs or may need supporting evidence or a record of the decision/making processes?
- Will the record document a change to policy, procedure or methodology?
- Does the transaction have to be approved by a more senior officer, committee or specialist section?
- Is the record of interest or importance to others outside your immediate working environment?

## When to Capture a Record

It is always safer to capture information from its creation, rather than at a later stage. If a delay occurs quite often continuity is lost as sections of the story may be incomplete. This can hinder decision making processes especially if it affects other areas of the University. Our aim is to hold complete and accurate records and have the knowledge of their existence and who holds them and the tools to be able to retrieve these records regardless of where in the University they are created or housed.



## Types of Records

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### Vital Records

Vital Records are those records that are identified as essential for the ongoing business of the University. These records contain information that is required to re-establish University business in the event of a disaster that destroys other records or closes down technological systems. Without these records the University could be at financial or legal risk or might not be able to continue to function effectively.

Vital Records ensure that specific rights and obligations accorded to the University are documented. These records may also protect the interests and assets as well as the clients and stakeholders of the University.

Examples are:

- Property leases and deeds
- IT hardware/software/maintenance agreements and licences
- Contracts and Agreements including Partnership agreements
- Insurance Policies and Schedules
- Intellectual Property Agreements (Patents, Copyright etc)
- Any legal documentation where the original must be maintained according to law
- Research Grants
- Student records – enrolment & progression
- Student Academic Transcripts
- Policies, Procedures and Guidelines created by the University

The original vital records must be captured into an approved recordkeeping system (i.e. HPE Records Manager) and kept in a secure environment according to recognised standards.

### Correspondence

Correspondence may be delivered and sent by various means including Australia Post, courier, facsimile, email or by hand. All documents created, received, maintained or dispatched by University staff in the course of business are official records and should be registered into an approved recordkeeping system. Key data (metadata) for the record should be captured, this includes:

- A brief title
- Date the document was created/signed
- Date the document was received/despached
- The author
- The addressee
- Format

- Security requirements
- Current location
- Home location
- Required action

## **Ephemeral (Short-Term Value) Correspondence**

Ephemeral or Short-term value correspondence is correspondence which is used to facilitate University business but is of a trivial nature or of such short-term value that it does not support or contribute to the business functions of the University. Some short-term value correspondence may not need to be saved into a recordkeeping system, but be retained on a share drive/folder until no longer needed.

Examples include:

- Notes and calculations used solely in the preparation of other records such as correspondence, reports, budget documents, programs and tabulations
- Drafts of documents relating to matters of minor importance (Drafts which document matters such as rationale behind University policy and certain legal issues, and those drafts which are circulated for comment, should be incorporated into the recordkeeping system to adequately document the development of actions and initiatives).
- Copies made from records held elsewhere in the University in any format. These include duplicate minutes, agendas, computer printouts of information contained in an electronic recordkeeping system, copies of internal circulars, abstracts or copies of formal financial records maintained for convenient reference, reference copies of film, video, microfilm or microfiche.
- Records and publications from outside sources that are kept solely for reference, such as invitations to functions, copies of other University annual reports, unsolicited promotional literature for goods and services, catalogues and published documents
- Audio records that are used in preparation of other records or in preparation of minutes and transcripts of formal proceedings, not covered by any stipulation set by the University.
- Transmittal messages and other conversational documentation, which do not record business transactions of the University or formal communication between staff members. These may include: informal transmission messages on 'with compliments' slips; email and facsimile cover notes; facsimile or telephone messages of a routine or trivial nature; and informal email.
- Appointment diaries and meeting schedules which may be maintained on electronic systems that do not record significant matters such as notes of discussions and meetings, case notes etc.
- Copies of personal documents, and documents containing personal information, acquired by the University which are not required on a continuing basis to support the business transactions to which they relate – such as copies of birth certificates, drivers' licences, marriage certificates, copies of references, copies of qualifications, change of address notices.

## Personal Correspondence

Personal Correspondence is correspondence which is of a personal nature and has no relevance to the business of the University. Examples include: 'Let's do lunch', personal/family arrangements or CVs.

The University allows a small amount of personal information to be retained by an individual. The University has provided a specific directory, such as the P Drive, to store this type of information. A folder or folders should be identified in Outlook mailbox to identify your personal information. Business information should not be included in these personal areas.

Personal electronic documents, emails and papers can be destroyed as soon as staff members no longer require the information and should be removed or destroyed prior to leaving the University. If correspondence incorporates both personal and work-related information, then the correspondence is a business record and should be saved into an approved recordkeeping system.

## Documenting Conversations

It is appropriate that conversations through telephone, SMS or face to face be documented if significant business decisions have been made, and there is no documentary evidence to follow such as a letter or memo. Examples include conversations that:

- Convey the primary response from the University to another organisation, a staff member, a media representative or a client (i.e. instances in which a response will not be confirmed in writing); or
- Represent complaints from a member of the public requiring further investigation.

## Record Formats

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### Source Record

Source records are documents or other records that have been copied converted or migrated, or will be the input for such a process. A source record may be an original record or it may be a reproduction that was generated by an earlier copying, conversation or migration process. The University must ensure that the certain conditions are met to ensure the reproductions of records that have been digitised have the required degree of authenticity, integrity, and reliability.

### Paper Records

Paper records need to be recorded, captured in a fixed form, maintained and made accessible as records. Paper records must remain available, accessible, retrievable and usable for as long as a business need exists, or as long as legislative, policy and archival requirements provide, whichever is longer.

These records may consist of paper documents enclosed in a manila file or folder cover and should be kept in suitable storage mediums such as lateral filing cabinets in accordance with storage standards applicable to their needs. Paper records identified permanent in value, e.g. signed Council Minute papers, are to be printed on archival quality paper to ensure they are accessible over time and forwarded to the Archives Centre for retention.

### Electronic Records

The University conducts much of its business electronically. It is therefore necessary to create and manage information in electronic format. Electronic transactions are no different from their paper counterparts in that they need to be recorded, captured in a fixed form, maintained and made accessible as records. Electronic records must remain available, accessible, retrievable and usable for as long as a business need exists, or as long as legislative, policy and archival requirements provide, whichever is longer.

Systems and facilities should be secure from unauthorised access or modification and “irrecoverable loss of records and data” as a result. Error or equipment failure can result in deliberate or inadvertent corruption or deletion. Back up procedures should provide a security precaution against loss, corruption and unauthorised access.

As with paper documents, not all electronic documents are electronic records. For example a report that has not been signed off is not a record until authorisation takes place or has become part of a transaction.

Those records of ongoing value which are created or received electronically, including word processed documents and electronic mail messages, should be captured into an approved recordkeeping system.

Records should not be held on hard drives (i.e. share drives), USB's, CD's, DVD's or any other storage device.

## E-Mail

Electronic records include e-mails which may need to be retrieved at a later time or which have been identified as constituting a record of the University's office work. E-mails, whether printed or not, are treated as documents under the Government Information (Public Access) Act and are "discoverable" in litigation. They also can be produced in court by subpoena and are subject to copyright, privacy and defamation legislation. In order to maintain their value as evidence, electronic mail messages must be inviolate. This requires that they are maintained in a system which prevents them from being altered or manipulated from their original state.

## Recordkeeping Systems

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### What is a Recordkeeping System?

A recordkeeping system is a system which captures, manages and provides access to records through time. A recordkeeping system should:

- Routinely capture all records within the scope of the business activity it covers,
- Organise the records in a way that reflects the business processes of the records creator
- Protect the records from unauthorised alteration or disposition
- Routinely function as the primary source of information about actions that are documented in the records, and
- Provide ready access to all relevant records and related metadata.

All areas of the University have access to the corporate recordkeeping system HPE Records Manager. This system assists the management of business information, both physical and electronic (including email), from creation or receipt to destruction or archiving. Control processes include classification and document registration, security and access, retention and disposal, auditing and archiving.

### What is Recordkeeping Metadata?

Recordkeeping metadata is a tool that enables you to describe records, people and business activities in a suitable amount of detail to ensure:

- better information accessibility
- improved records management, and
- greater accountability in business operations.

A number of everyday activities involve the capture of metadata about records or rely on metadata being available. Examples include:

- identifying personal information that must be protected under privacy legislation
- accessing documents sought under freedom of information legislation
- transferring records to another organisation as a result of administrative change or privatisation
- tracking correspondence
- identifying vital records as part of disaster planning
- transferring permanent records to the Archives Centre
- documenting the destruction of records.

## What is a Classification Scheme?

A classification scheme stipulates the use of controlled vocabulary to ensure that terms are used consistently. This facilitates searching, retrieval, disposal sentencing and reporting. To provide a consistent method for the classification of folders CSU has adopted the Keyword AAA Functional Thesaurus as the basis for its classification system.

According to this classification model:

- Functional keywords represent broad business functions of the University, for example: Property & Facilities Management, Teaching & Learning, Financial Management etc;
- Activity descriptors describe the more specific activities taking place within those functions, for example, Maintenance, Construction, and;
- Subject descriptors are added as a means of describing the more specific subjects or topics relating to the matter to be documented within an activity. These authorised terms can be supplemented by some free text, that is, words not derived from the classification scheme, such as the name of an organisation, an individual or a project.

The keywords and descriptors are authorised terms provided by the classification scheme. A folder title is constructed by allocating a functional keyword, followed by an activity descriptor, followed by a subject descriptor and/or some free text. Scope notes describe how each of these terms is to be used.

An example of the hierarchical title structure is

### **PRPROPERTY & FACILITIES MANAGEMENT – Maintenance – Lifts**

In the example **PROPERTY & FACILITIES MANAGEMENT** is the functional keyword to describe the function of managing University premises. **Maintenance** is the activity descriptor representing this activity taking place. **Lifts** is the subject descriptor, showing the subject/topic being documented on the file. You can see from the file title itself that lifts are one concern when carrying out the maintenance activity and that maintenance is an activity that must take place when managing premises.

## What is the Disposition of a Record?

A disposition describes what the current status is for a record or group of records. A disposition is another way of categorising records to enable easier retrievability of records.

These are broken up into 4 categories:

- **Active** – active records are ones that are used on a day to day basis. These records are kept in current folders (electronic or physical) for easy access.
- **Inactive** – inactive records are records that have little if any use but are required to be retained before destruction or disposal. These records may be located in a nominated secondary storage area.
- **Destroyed** – destroyed records have been destroyed in accordance with the GDA's set by State Records NSW.

- **Archived** – Archived records are records that have been identified as permanent in value and located in a controlled long term storage repository i.e. the Archives Centre, Wagga Wagga Campus.



## Access and Security of Records

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### Access

All staff can access the business records created by the University that they require to conduct their operational requirements of their business role. There may be specific legislation and policies that govern accessibility of some information. Records that contain personal, commercial or operationally sensitive information will be identified and restricted to ensure that only those staff that have a business reason to access this information will be able to do so.

All University records made by any staff member of the University in the course of her or his duties are considered to be confidential and must not be divulged or released to unauthorised persons without authorisation from the staff member's Supervisor.

Release of personal information relating to staff or students is only permissible in compliance with established University policies and guidelines.

Staff members are required to use discretion in regard to the divulgence or release of ephemeral information. If in doubt, staff members must consult their Supervisor.

### Folders/Files and Documents

Physical official folders are not be sent out or taken off campus without authorisation. It is preferable that copies be made for this purpose and identified as such. Where original records are required, (eg. for legal matters in the case of litigation) the Head of the Business Unit, and/or University Records Manager should be advised before the records leave the University to ensure appropriate record security, and tracking can be completed and follow ups for return of files/folders can be made.

Official documents that form part of the University's record must not be placed in unofficial or private record systems by staff. All such documents should be captured into an approved recordkeeping system and retained with the business unit. Protocols and procedures need to be implemented for staff that work from home/offsite to ensure security and access of records is managed appropriately.

### Security and Storage

University records that are identified as containing sensitive or confidential information must be identified. Protocols and procedures must be put in place to appropriately manage and protect these records, regardless of format, from unauthorised access, damage and loss (including theft). Some of the more sensitive records include:

- Student records
- Client records
- Medical records
- Staff records
- GIPA (FOI) requests
- Grievance matters
- Legal matters

- Performance Appraisals
- Tender documents

If you require access to records you would not normally have access to, you must formally request access to the relevant owner of the records.

## Physical Storage

- All physical storage areas must have been included in the completion of the Records Storage Self Assessment.
- All physical records storage areas are to be secure areas with access only provided to authorised personnel. Staff members are not permitted to access records for which they have no authorisation.
- Where a secure storage area is unavailable, all University physical records should be stored in lockable shelving units to prevent unauthorised access when offices are unattended during the day or after hours. Staff members must ensure shelving units are locked appropriately when leaving offices unattended.
- Staff members must ensure that confidential and/or sensitive records are not left on desktops or in plain view whilst offices are unattended.
- Records must be stored in conditions that ensure they are accessible and retrievable in appropriate timeliness for the length of time they are retained.
- Records should be stored in conditions that take into account their physical characteristics, sensitivity, retention period and expected access rate.
- Storage facilities used (including those provided by commercial service providers) must comply with occupational health and safety guidelines as adopted by the University.

## Electronic Storage

Confidential and sensitive information must be protected from unauthorised access, alteration or deletion by ensuring that appropriate security measures are put in place to deal with this type of information. Measures may include:

- Setting up work group access to directories/folders
- Locking the machine if absent from the office
- Utilisation of passwords
- Making documents read only
- Ensuring records are identified as such and placed into an approved recordkeeping system.

## Using Shared Folders in Conjunction with a Recordkeeping System

Shared folders are utilised to facilitate collaboration, dissemination of information and storing certain document formats that are difficult to capture into a recordkeeping system. These shared folders can be either located on network drives or in public folders in some email environments.

Shared folders are a useful tool but they need to be managed and monitored regularly to ensure that proper records are kept. Some of the ways in which this can be achieved include the following:

- Incorporate the use of shared folders into the overall information management framework. For example setting up a controlled folder structure.
- Ensure that copies of all approved or final versions of documents are placed into an approved recordkeeping system.
- Ensure that all staff are aware that the “official” version of the documents should be obtained from the recordkeeping system.
- Provide links between the shared folder and the recordkeeping system.
- Change work practices to ensure that draft documents are removed from the shared folder after being placed into the recordkeeping system.
- Remove out of date or obsolete drafts or reference copies of documents from the shared folders on a regular basis.

Enforce security permissions that limit the ability of most users to create folders and delete or amend documents.

## Preservation / Protection of Records

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Records appraised as permanent or requiring long term retention, need to be retained in a more stable environment. Storage conditions and handling processes should ensure that as far as possible records are protected from unauthorised access, loss, destruction, and from theft and disaster.

Major causes of deterioration of records in their various formats are light, heat and humidity, handling, mould and pest infestation. Most of these factors can be avoided by controlling the environment in which physical records are stored:

- Storage areas must be kept free of dust by regular cleaning.
- Regular inspections for pest infestation and fumigated as required.
- Paper records should ideally be stored in areas that do not have great fluctuations of temperature or humidity. An acceptable temperature range for paper is 18-20°C with a relative humidity between 45-50%. Magnetic media such as tape, floppy or hard disks recommended temperature is the same as for paper but the humidity is 35-45%. Photographs require a temperature range 18-22°C with a relative humidity of 45-55%.
- Records should not be placed in direct sunlight.
- Metal clips/fasteners should be removed as they have a tendency to rust over time.
- Care should be taken at all times when dealing with records.
- Storage areas should be selected that have plenty of ventilation and no damp.
- Damage to the immediate area such as cracks in walls, floors or ceilings should be repaired promptly.
- Paper records of a permanent retention value should be printed onto archival quality paper and forwarded to the Archives Centre
- Master Sets of Maps and Drawings should be ideally stored in purpose built Hanging Cabinets.

Storing audiovisual records such as, microfilm, microfiche, photographs, magnetic tapes and floppy and hard disks require more specialist treatment than that required for paper records. To ensure that digital records are accessible over time, migratory plans and processes need to be put into place.

Research specimens and collections will require specialist storage as suited to the type of material being stored. Refer to the State Records Office NSW Standard [Physical Storage of State Records](#) for clarification on standards.

## Archiving

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### General Retention and Disposal Authorities

General retention and disposal authorities (sometimes referred to as GDA's or GA's) identify the functions and activities, describe the type of records associated with each other, and prescribe a disposal action. These authorities are legal documents that provide the necessary authorisation by State Records (NSW) to allow disposal to be undertaken. Disposal actions range from permanent retention as an archive, to stipulating a minimum period of retention prior to destruction.

The following GDA's are applicable to the University:

- [Administrative records](#) (GA28)
- [Audio visual programs and recordings](#) (GDA11)
- [Original or sourced records that have been copied](#) (GA45)
- [Source records that have been migrated](#) (GA33)
- [Education: Higher and further education records](#) (GA47)
- [Video/visual surveillance records](#) (GDA8)

Records and information created by staff members of the University are subject to compliance with the State Records Act 1998, any record created by the University is therefore classed as a State Record as defined by the [State Records Act 1998](#).

The State Records Act 1998 provides that an employee of the University, or any other person, must not dispose of records of any type without the written authority of State Records NSW.

E-mail and other electronic records (records communicated or maintained by means of electronic equipment) are clearly covered by the definition of records contained in the State Records Act 1998. Electronic records must be included in the systematic evaluation of all university records. It is the responsibility of officers to ensure that any electronic records having continued value for administration or for longer term research are preserved.

Refer to the information sheet [Process for Archiving](#) for further information.

### Appraisal

Appraisal is the process of evaluating the University's business activities to determine which records need to be created and captured into recordkeeping systems and how long the records need to be kept, to meet business needs, the requirements of the organisational accountability and community expectations. This includes determining which records should be kept as part of our University's collective memory and cultural heritage.

Decisions on how long records should be retained are based on the recordkeeping requirements of the record. In addition to regulatory, business and stakeholder requirements the potential research value of the records should also be considered as this is a significant aspect of community stakeholder expectations. Many records created for a specific purpose have a research value unrelated to the reason for their creation.

Records identified for permanent retention are likely to be those which:

- Provide evidence and information about the University's policies and actions

- Provide evidence and information about the University's interaction with the client community it serves
- Document the rights and obligations of individuals and business areas
- Contribute to the building of the University's memory for scientific, cultural and historical purposes
- Contain evidence and information about activities of interest to internal and external stakeholders.

To ensure accountability, it is essential that the processes identifying recordkeeping requirements is well documented and provides the necessary detail to justify the disposal recommendations. This is accomplished by the disposal authorities, the documentation should provide the rationale for each requirement and enable it to be traced back to its source.

## Records Copied onto Other Media

Technology enables records created in one media to be copied or converted to another medium requiring less storage space and allowing better access (e.g. paper copied to microfilm or converted to electronic format). The reproductions of source records may be retained as the official agency records providing they have the required degree of authenticity, integrity, reliability and usability necessary to substitute for the source records in business and regulatory applications. This includes their use as evidence in the Courts, to respond to Freedom of Information requests or to comply with standards issued by State Records NSW.

The [General Disposal Authority for Original or source records that have been copied – GA45](#) covers the disposal of source records. Please refer to the State Records Office NSW [Standard on records management](#) for further clarification.

## Permanent Records

Permanent records should be transferred to the Archives Centre, Wagga Wagga Campus, when administrative use ceases.

## Temporary Records

Temporary records can be destroyed following the expiry of retention periods specified in General Disposal Authorities and once approval from the University Records Manager has been obtained.

## Disposal Authorisation

Although the disposal schedules establish when records can be destroyed, no records should be destroyed until authorised by the business unit manager and the University Records Manager. Records must be destroyed in a secure and environmentally friendly manner. Shredding and pulping are the preferred methods of disposal. Prior to the destruction of records you are required to complete a [Request for Authority to Destroy Records](#) form.

# Forms

## Request for Authority to Destroy Records



OFFICE OF GOVERNANCE AND CORPORATE AFFAIRS  
COMPLAINTS AND RECORDS MANAGEMENT

### Request for Authority to Destroy Records

**Prior to destruction you must ensure that the:**  
 ✓ Minimum retention periods set by GDA's have been satisfied.  
 ✓ Records are no longer required for legal, administrative, financial or audit functions.

| Requestor Details  |   |
|--|---|
| Name   |   |
| Faculty/Division   |   |
| Position/Title   |   |
| Telephone  |   |
| Signature  | Date  |
| Records Description  |   |
| Description of Records   | <i>Attach a separate list of records if not enough room</i>   |
|  |   |
|  |   |
| Authorisation for Destruction  |   |
| FACULTY/DIVISION APPROVAL  |   |
| <i>This section must be completed by the manager.</i>  |   |
| Are the records still required by the University for any of the following functions?             | Legal Functions <input type="checkbox"/> Yes <input type="checkbox"/> No<br>Administrative Functions <input type="checkbox"/> Yes <input type="checkbox"/> No<br>Audit/Financial Functions <input type="checkbox"/> Yes <input type="checkbox"/> No |
| <i>If yes has been selected for any of these functions, then these records must be retained.</i> |   |
| Name   | Position  |
| Signature  | Date  |
| UNIVERSITY RECORDS MANAGER APPROVAL  |   |
| Have the records satisfied minimum retention requirements?                                       | <input type="checkbox"/> Yes <input type="checkbox"/> No  |
| <i>If no, records must be retained.</i>  |   |
| Name Shelley McMenamin   | Position Manager, University Records  |
| Signature  | Date  |
| Destruction of Records Completed by  |   |
| Signature  | Date  |

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CRICOS Provider Numbers for Charles Sturt University are 00005F (NSW), 01947G (VIC) and 02960B (ACT). ABN: 83 878 708 551

## Process for Archiving



OFFICE OF GOVERNANCE AND CORPORATE AFFAIRS  
COMPLAINTS AND RECORDS MANAGEMENT

## Process for Archiving

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When information is no longer used regularly, decisions have to be made whether it can be destroyed or whether it has some continuing value. A disposal authority is used to determine the minimum amount of time the information needs to be kept before it can be approved by the Manager, University Records for destruction. Further information can be found on the [Complaints and Records Management](#) webpage.

### Prepare for Archiving

- Group similar types of records together and tackle the easy records first eg examination papers, policies, student files, forms, invoices. Correspondence and case files need more thought as it can sometimes be a little harder to determine their archival value.
- From the CSU Complaints and Records Management webpage download the following forms: Archive Box Content List form (for hard-copy records), Request for Authority to Destroy Records form (hard-copy and electronic records due for destruction).
- To ensure workplace health and safety, all hard copy records need to be archived using specialty Type 1 (T1) storage boxes (H) 25cm x (W) 18cm x (D) 40cm. Once you've determined the approximate number of boxes required, you can contact the Complaints and Records Management unit at [records@csu.edu.au](mailto:records@csu.edu.au) to see if they have any second hand T1 boxes available, if not you will need to order them (see How to Purchase Records Storage Boxes)
- Separate any folders that contain only low value information, such as copies, as these can be disposed of once the reference period ceases. Just make sure that all the information in the folder is of low value before it is disposed of.
- Any folders that have not been used or referred to in two years or more should be part of your archiving project as they have become inactive and can take up valuable space. We would quickly run out of space if we kept everything.
- Make sure you have enough space to spread out and allow yourself plenty of time.
- Each box will require its own Archive Box Content List form to be completed as much as possible and sent to the Manager, University Records who will issue the GDA reference and retention periods, and provide labels for your storage boxes.
- Ensure that all files in each box are similar activities i.e. financial, human resources, committees etc and all files within each box have the same retention period.

### Archiving electronic information

Electronic information also needs to be archived. Once the Manager, University Records has issued the disposal details, include them in the electronic folder title. To do this you will need to rename the folder and add the following information:

- CLOSED
- Folder name
- Disposal authority reference
- Disposal action and date

*Eg CLOSED Folder name/title GDA23-23.2.2 D02 100101*

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