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**Policy Approver:** Vice-President Administration & Finance And Chief Operating Officer

**Policy Steward:** Associate Director, Information Governance And Engagement

**Supporting Process:** [Governance and Management Processes](#)

## Records Management Policy (MPF1106)

### 1. Objective

The objectives of this policy are to:

- (a) facilitate legislative compliance and effective business practice; and
- (b) protect University information assets as evidence of current practice and for future research.

### 2. Scope

This policy applies across the University.

### 3. Authority

This policy is made under the [University of Melbourne Act 2009 \(Vic\)](#) and the [Vice-Chancellor Regulation](#) and supports compliance with the:

- (a) *Public Records Act 1973* (Vic) and standards issued in accordance with this Act; and
- (b) *Crimes Act 1958* (Vic).

### 4. Policy

4.1. The University creates, captures and maintains full and accurate records of its activities, including outsourced, contracted or cloud-based activities. All areas of University operations must keep records in accordance with this policy, on matters such as research, learning and teaching, engagement, administrative operations and commercial activities.

4.2. Records are used to:

- (a) underpin efficient and effective operations;
- (b) support accountability, regulatory compliance and management of risk; and
- (c) preserve corporate memory.

4.3. All staff are responsible for:

- (a) creating, capturing, managing and disposing of records of their University duties;

- (b) being aware of their responsibilities for protecting personal and confidential information when accessing University records; and
- (c) completing the relevant record-keeping induction and training modules.

## 5. Procedural principles

- 5.1. Records must be maintained on University systems or infrastructure that is capable of meeting records management standards and legislative requirements.
- 5.2. A system must be assessed for compliance with records standards before it is implemented or before records are migrated to or from the system. A major change to an existing system must also be assessed for such compliance.
- 5.3. Records must be organised and managed to preserve their context and ease of retrieval.
- 5.4. Records must be retained in accordance with the University Records Retention and Disposal Authority.
- 5.5. Throughout their full retention period, records must be actively managed and organised to preserve context, accessibility and usability.
- 5.6. Records must be stored in conditions suitable to the:
  - (a) length of time they must be kept;
  - (b) nature of the record content (eg personal, confidential or sensitive information); and
  - (c) format of the record or the medium it is kept on.
- 5.7. Records must be destroyed at the date specified in the University [Records Retention and Disposal Authority](#) using secure and permanent methods unless there is:
  - (a) a pending or anticipated legal action or business use; or
  - (b) a current hold or freeze on destruction issued by Records and Compliance.
- 5.8. Permanent value records are transferred to the University Archives for preservation and access.
- 5.9. Records are made available in accordance with legislation and within the constraints of security, confidentiality, privacy and archival access conditions.

## 6. Roles and responsibilities

Role/Decision/Action	Responsibility	Conditions and Limitations
Establish and implement a records management program.	Associate Director, Information Governance and Engagement	In accordance with this policy and s.13 of the Public Records Act 1973 describing duties of the office in charge of a public office (the Vice-Chancellor).
Issue guidance on policy implementation.	Associate Director, Information Governance and Engagement	

## 7. Definitions

**University record** means recorded information, in any format (eg electronic, paper, image) created or received by staff of the University in the course of conducting their University duties.

## POLICY APPROVER

Vice-President (Administration & Finance) and Chief Operating Officer

## POLICY STEWARD

Associate Director, Information Governance and Engagement

## REVIEW

This policy is to be reviewed by 26 February 2021.

## VERSION HISTORY

Version	Approved By	Approval Date	Effective Date	Sections Modified
1	Council	8 October 2012	8 October 2012	New version arising from the Policy Simplification Project. Loaded into MPL as Version 1.
2	General Manager, University Records and Policy University Secretary's Department	27 November 2013	27 November 2013	Updates to documents listed in 'Relevant Legislation' section.
3	Vice Chancellor	26 February 2016	21 July 2016	New version arising from the Policy Consolidation Project.
4	Associate Director, Records and Compliance	10 April 2017	10 April 2017	Editorial amendment removing erroneous link in section 6.
5	Vice-Chancellor	7 March 2019	30 April 2019	Changed Policy Approver to Vice-President (Administration & Finance) and Chief Operating Officer (previously Vice-Chancellor).

6	Vice-President (Administration & Finance) and Chief Operating Officer	18 April 2019	30 April 2019	<p>Amended Policy Steward title.</p> <p>Editorial amendments to correct minor errors or align with the University's policy style guide.</p>
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