

# Keeping Records at UQ Procedure

## Section 1 - Purpose and Scope

(1) 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 records in the course of their work at UQ.

(2) For the purposes of this Procedure:

- a. Records are evidence of a UQ business activity, decision or transaction and may be in any format (i.e. digital or physical).
- b. Record keeping involves an interaction between people, processes and systems.
- c. Approved 'UQ record keeping systems' are UQ IT information systems that have been officially recognised and approved as a system of record at UQ.

(3) Examples of UQ records to be kept and approved UQ record keeping systems are outlined in the Appendix.

### Legislative Context

(4) 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.

## Section 2 - Process and Key Controls

(5) Vital, high-risk, high-value and permanent records must be kept in an approved UQ record keeping system.

(6) Records must be retained in accordance with the relevant retention and disposal schedule.

(7) Records will only be disposed, destroyed, or deleted with the approval of the Senior Manager, Data Strategy and Governance, who is the designated authorised officer.

## Section 3 - Key Requirements

### Record Keeping Obligations for Staff

(8) Vital, high-risk, high-value and permanent records must be kept in an approved record keeping system to ensure the record is discoverable, accessible, and managed throughout their lifecycle. The primary approved record keeping systems at UQ are provided in the 'Approved Record Keeping Systems' provisions of this Procedure.

(9) For the purposes of vital, high-risk, high-value and permanent records, the following are not approved UQ record keeping systems:

- a. network and shared drives;

- b. personal hard or cloud drives;
- c. USB drives;
- d. desk drawers; and
- e. anywhere that is not a centralised, secure and managed system.

(10) Records that are not vital, high-risk, high-value or permanent may be stored in the above systems.

## **Retention and Storage of Records**

(11) All records must be kept and retained in accordance with the following schedules:

- a. [Queensland State Archives - General Retention and Disposal Schedule \(GRDS\)](#);
- b. [Queensland State Archives - University Sector Retention and Disposal Schedule](#);
- c. [Queensland State Archives - General Retention and Disposal Schedule for Digital Source Records](#).

(12) 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.

## **Physical Storage of Records**

(13) Physical records must be stored:

- a. on-site within the relevant Organisational Unit area;
- b. in UQ's on-site archive facilities, which are managed by the Data Strategy and Governance Unit; or
- c. with an approved external storage provider.

(14) Before any record is stored with an external storage provider, the Data Strategy and Governance Unit must be provided with a catalogue of the records to be stored with the provider. The relevant Organisational Unit is responsible for any costs associated with records storage with external storage providers.

## **Disposal**

(15) UQ staff must not dispose of records without authorisation in accordance with [the Act](#). The Vice-Chancellor is responsible for authorising the disposal of records and has delegated this responsibility to the Senior Manager, Data Strategy and Governance.

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

(17) Disposal encompasses two contexts:

- a. 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
- b. Destruction of records at the end of their useful life and as determined eligible under an approved destruction authority.

## **Records Destruction Process**

(18) The destruction of physical and digital 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 (Content Manager).

## Section 4 - Roles, Responsibilities and Accountabilities

### Data Strategy and Governance Unit

(19) The Data Strategy and Governance Unit is responsible for:

- a. the management of UQ's records management system (Content Manager);
- b. advising staff on UQ's record keeping and records disposal obligations under the [Public Records Act 2002](#);
- c. 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; and
- d. physical and digital records registered into the Content Manager system, that are not eligible for transfer of ownership to The University of Queensland Archives.

### The University of Queensland Archives

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

- a. The University Archivist is responsible for the operational management of The University of Queensland Archives ([Archives Policy](#)).
- b. 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 UQ and the greater community.
- c. The University of Queensland Archives and the Data Strategy and Governance Unit work collaboratively in the identification, collection and preservation of archival records.

### Heads of Organisational Units, Managers and Project Managers

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

- a. 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;
- b. when new workflows, business processes and systems are procured, ensuring that record keeping requirements are incorporated into the planning and procurement process; and
- c. 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.

### UQ Staff

(22) UQ staff are responsible for:

- a. using UQ's approved business information management systems to securely store information;
- b. ensuring that the storage of physical and digital records is in accordance with Data Strategy and Governance's guidance - [Retention and Destruction of Records](#); and

- c. ensuring that the disposal of records complies with UQ's [Destruction of Records Procedure](#).

## Section 5 - Monitoring, Review and Assurance

(23) The Data Strategy and Governance Unit will:

- a. monitor UQ's compliance with its record keeping obligations under the [Public Records Act 2002](#);
- b. review this Procedure as required to ensure:
  - i. its currency and accuracy; and
  - ii. that UQ's processes comply with requirements under relevant legislation; and
- c. provide training opportunities and awareness-raising materials to enable UQ staff to meet their record keeping obligations under this Procedure.

## Section 6 - Recording and Reporting

(24) To support UQ's record keeping obligations, the Data Strategy and Governance Unit, 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 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.

(25) Evidence of authorised records destruction will be recorded and captured in UQ's records management system (Content Manager).

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

## Section 7 - Appendix

### Definitions

Term	Definition
Approved Record Keeping System	A system approved by the Data Strategy and Governance Unit as a record keeping system, or a system that integrates with Content Manager (TRIM) for management of records. The primary approved record keeping systems at UQ are listed in the 'Approved Record Keeping Systems' provisions below.
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 <a href="#">the Act</a> as: <ul style="list-style-type: none"> <li>- destroying or damaging a record, or part of it; or</li> <li>- abandoning, transferring, donating, giving away or selling the record, or part of it.</li> </ul>
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.

Term	Definition
Permanent Record	A record of this type is a Public Record of enduring value to 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 <a href="#">the Act</a> 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 <a href="#">Queensland State Archives</a> 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.

## Examples of Records to Keep

(27) The table below has broad examples of common records to be kept and managed.

(28) The retention and disposal schedules listed under the 'Retention and Storage of Records' provisions (in section 3) provide further descriptions of records needed in various business contexts.

(29) The Data Strategy and Governance Unit assist staff in translating these schedules to UQ organisational areas and operational contexts.

Broad examples of common records to be kept and managed
Assets - infrastructure and equipment controls, registers, maintenance, warranties, security
Academic program - development and management over life of program
Approval, decision or advisory correspondence
Audits - any records that are part of an auditable process, internal due diligence, or as required under legislation or legally binding standards
Clinical records - administrative, case records and data
Committee papers - final agendas, meeting papers and approved minutes
Contracts - includes agreements and memoranda of understanding, licenses to operate, and any documented legally binding arrangements
Copyright - administrative activities associated with the university publishing original literature, including agreements associated with joint ventures
Data - core financial, student and staff data
Decision making data - evidence informing official finding, decision, approval
Delegations of authority
Disaster management and business continuity - plans, manuals, debriefs
Donors, gifts and bequests - correspondence, arrangements
Engagement, Marketing - campaigns and materials
Ethical Clearances - legal obligations for research and training activities involving human and animal research, and genetic manipulation
Export Controls - licensing, permits required legally for arrangements when exporting products/materials as part of research activities
Grants, scholarships and sponsorships - case files and arrangements

### Broad examples of common records to be kept and managed

Incidents and near misses – occupational health and safety reported matters and supporting data and documentation and actioning
Industrial relations matters
Insurance – case files
Insurance – certificates, product disclosure materials
Intellectual property – agreements, arrangements
Legal matters – case files
Newsletters – UQ community - staff, student, alumni official communications
Operational health, safety and environmental – administrative matters, arrangements and training
Patents, Trademarks
Policies, procedures and operational standards (UQ) – published
Procurement activities
Project management – case files
Property and Facilities – as constructed drawings including refurbishment drawings, manuals, maintenance, statutory inspections
Publications – distributed to community, students and staff
Reporting – statutory and external requirements, internal accountability, investigations, etc.
Research – administrative matters, case records and data
Senate and Academic Board records
Strategic plans and reports
Staff records – including inductions, training records, misconduct issues, etc.
Student records – including academic transcripts, misconduct issues, etc.
Teaching and learning – examination scripts, assessment, etc.
Teaching and learning – UQ’s teaching and learning arrangements and activities
Records of significant UQ events – announcements, speeches, innovations, knowledge leadership recognition, research accomplishments and historically significant matters attached to cultural change or remediation events; e.g. first nations, gender equity; vulnerable persons, etc.
Permanent retention information – any records that are required to be kept forever or need to be kept for a very long time as described in the approved retention and disposal schedules

## Approved Record Keeping Systems

(30) Content Manager (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 manual means, such as individuals interacting directly in the system day to day. It also tracks the existence and management of physical record collections. Content Manager is suitable for all record types.

(31) The table below outlines the approved record keeping systems and the records for which the system is approved to keep.

<b>Business Category</b>	<b>Approved Systems</b>
Administrative day to day	Content Manager (TRIM) Digital Asset Manager (DAM) Service CRM Oracle Service Cloud UQ-ORG Confluence SharePoint
Communications, Community and Global Enrichment	Raisers Edge Content Manager (TRIM)
Clinical and Research Data, and Analysis	Content Manager (TRIM) Contract eVaults RDM Research Data Manager MyResearch
Collaboration and knowledge sharing  (NOTE: Exceptions - any Permanent value records will need to be migrated to an approved archival system after collaboration ceases)	Confluence Website Drupal SharePoint Teams
Contracts, Agreements, Permits, Certifications  (NOTE: For final executed; legally binding documents; licences to operate)	Content Manager (TRIM) Contract eVaults
Environment, Emissions, Sustainability	Chemwatch Gold FX Archibus Content Manager (TRIM)
Financial, Budgeting, Accounts and Payroll	UniFi Expense Management System (EMS) My Balance (Reporting)
Governance, Compliance, Duty of Care	Content Manager (TRIM) UQSafe InPlace cGov Misconduct Grievance System MyResearch
Historically, Culturally Significant	UQ Archives Content Manager (TRIM)
Legal Matters	Practice Evolve (Legal Case Management) Content Manager (TRIM)
Project Management and Case Files	Jira Content Manager (TRIM) SharePoint MS Project
Property, Facilities, Security, and Infrastructure	Archibus CCTV Recording Systems
Student Support and Wellbeing Services	SI-net InPlace Content Manager (TRIM)
Teaching and Learning	Jac Curriculum Management Blackboard Content Manager (TRIM)
Workforce Management	Aurion Workday Content Manager (TRIM)

## Status and Details

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<b>Enquiries Contact</b>	Information Technology Services