

Records and Information Management Policy

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1. Purpose

- a. This policy affirms the University's commitment to the [lifecycle](#) management of [information assets](#) which are essential to the success of the University's learning, teaching, research, business, and administration activities.
- b. It supports the University's compliance with mandatory laws and best practice codes relating to information management, including the [State Records Act 1997](#) and the [Australian Code for the Responsible Conduct of Research \(2018\)](#).
- c. This policy draws extensively on and is consistent with the [State Records Information Management Strategy and Standards](#).

2. Scope

- a. This policy applies to the management of all information assets throughout their lifecycle and includes any information, data or record, in any format, where it is created or received through the conduct of University business.
- b. It applies to all staff, academic status holders, students, members of Council and its committees, controlled entities, contractors, and volunteers who are involved in the conduct of University business.
- c. Research data which is generated and/or collected in the conduct of research is also an information asset of the University which must be managed in accordance with this policy and the Research Data Management Procedures.

3. Definitions

Approved System	A business system used by Flinders University that contains digitised hardcopy information assets and the minimum required metadata fields in line with State Records' Standard and has been certified by the Director of Library Services. Refer to the Records and Information Management Standard for a list of approved systems.
Business System	Any software or set of computer programs used by Flinders University to perform various business functions. These business applications are used

	to increase productivity, measure productivity, and perform other business functions accurately.
Information Asset	Incorporates the definition of official record as defined by section 3(1) of the State Records Act, and includes information, data, and records, in any format (whether digital or hardcopy), where it is created or received through the conduct of University business.
Information Lifecycle	The creation, storage, processing, and disposition of information assets, in any format, which are created or received through the conduct of University business.
Metadata	Data describing the context, content and/or structure of information assets and their management over time. Examples of metadata include the date a document was received or captured, the author of the document, who has accessed the document, and security applied to the document.

4. Policy statement

4.1. General principles

- a. The value of information is known.
 - i. The University fosters a culture where information is valued as business-critical assets.
 - ii. The value of information assets, both current and future, is determined, understood, governed, and leveraged to document and support business decisions and outcomes, and meet statutory obligations.
 - iii. Information assets are documented in the relevant [business system](#) and audited regularly.
- b. Information assets are created and managed appropriate to risk.
 - i. The University determines and documents which information assets need to be created and kept in accordance with compliance requirements and a risk management approach to support business objectives and satisfy stakeholder expectations and interests.
- c. Responsibility for information assets is assigned.
 - i. The University retains ownership of information assets created or received through the conduct of University business regardless of the individuals who create or receive them.
 - ii. Responsibility for managing information assets is documented and assigned to designated staff to ensure they are managed for the best outcomes of the University, its staff, students, partners, affiliates, and the broader community.
- d. Information assets can be relied upon.
 - i. The University relies on its information assets to document, support, and substantiate business decisions and outcomes.
 - ii. Information assets are captured and stored in an appropriate business system so that they are accurate, complete, reliable, reusable, and irrefutable for business, evidentiary, research, compliance, and reporting purposes.

- iii. Long-term temporary value information assets (retention greater than 5 years) and permanent value information assets are moved from the initiating business system into the University's approved recordkeeping system.
- e. Information assets are available as required.
 - i. The University effectively balances access to its information assets with the need to maintain confidentiality as required.
 - ii. Information assets are managed and held within a secure environment that makes them easy to find as well as appropriately accessible.
 - iii. Information assets are shared subject to access, ethics, privacy, confidentiality, legislative, and contractual requirements.

4.2. Information Asset Digitisation and Preservation

- a. Hardcopy information assets may be digitised and captured into an [approved system](#) following the Information Asset Digitisation and Preservation Standard.
- b. Hardcopy information assets may be destroyed after their digitisation and capture, if the Director of Library Services (or delegate) has certified that the requirements of the Information Asset Digitisation and Preservation Standard have been met.
- c. Hardcopy information assets of permanent value to the State created prior to 1 January 2005 cannot be destroyed but can be digitised for ease of access and reference.

4.3. Information Asset Metadata

- a. [Metadata](#) must be captured in a structured manner to describe the identity, authenticity, content, structure, context, and essential management requirements of information assets.
- b. Staff must accurately capture metadata where manual input is prompted by business systems.
- c. Business systems must meet the minimum mandatory metadata requirements outlined in the Information Asset Metadata Standard.

5. Responsibilities

Staff	<p>Within their area of responsibility, all staff must:</p> <ul style="list-style-type: none"> a. Create full and accurate information assets that document University business activities and decisions. b. Capture created or received information assets and metadata in the University's approved recordkeeping system and/or relevant business system. c. Safeguard and maintain information assets ensuring compliance with retention and disposal standards. d. Obtain and maintain sufficient skills and knowledge to manage information assets in accordance with this policy, this includes familiarising themselves with available resources, undertaking training, and seeking assistance as necessary.
Managers / supervisors	<p>Within their area of responsibility, managers and supervisors of staff must:</p>

	<ul style="list-style-type: none"> e. Monitor and support staff to meet their records and information management responsibilities under this policy. f. Ensure that staff receive appropriate records and information management induction and training.
Directors, Portfolio Heads and College Vice-Presidents and Executive Deans	<p>Within their area of responsibility, Directors, Portfolio Heads and College Vice-Presidents and Executive Deans must:</p> <ul style="list-style-type: none"> g. Promote a culture where information assets are valued and managed in compliance with this policy. h. Assign responsibility for information assets to designated staff. i. Allocate resources to effectively manage information assets in accordance with this policy.

6. Authorities

Director of Library Services (or delegate)	<ul style="list-style-type: none"> a. Approve the disposal of information assets. b. Certify digitisation processes and capture of digitised information assets as meeting the requirements of the Information Asset Digitisation and Preservation Standard. c. Approve and amend the following standards as required: <ul style="list-style-type: none"> i. Records and Information Management Standard ii. Information Asset Digitisation and Preservation Standard iii. Information Asset Metadata Standard.
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7. Supporting procedures

Supporting procedures are part of this policy and provide additional detail to give practical effect to the policy principles.

[Research Data Management Procedures](#)

[Records and Information Management Standard](#)

[Information Asset Digitisation and Preservation Standard](#)

[Information Asset Metadata Standard](#)

Approval Authority	Vice-President (Corporate Services)
Responsible Officer	Director of Library Services
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* Unless otherwise indicated, this policy or procedures still apply beyond the review date.

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