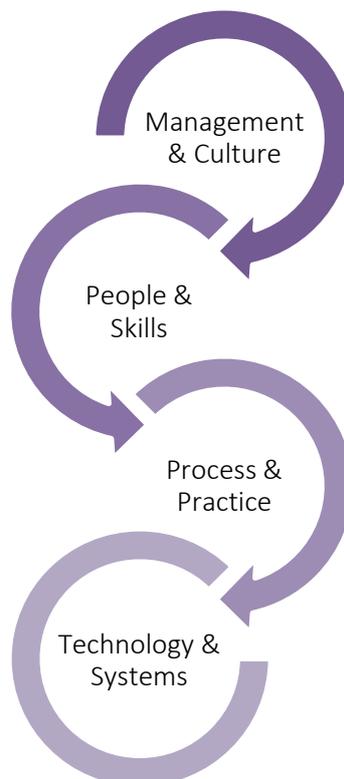

University Organisation and Governance Policies & Procedures

Records Management Framework

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Responsible Officer: Vice-Chancellor and President
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RECORDS MANAGEMENT FRAMEWORK



The University of the South Pacific's Records Management Framework has been developed to support the records management functions of the University and confirms the commitment to quality records management practices. The Framework enables staff and stakeholders to contextualise records management within the University setting and the needs of broader regulatory and legislative compliance. It provides guidance on activity and standards within the University setting. When all elements of the Records Management Framework are considered and/or implemented the University will meet its records management obligations. The Framework also provides a basis for the University to identify and prioritise activities to improve Records Management practice. It articulates a set of related or interacting ideas, processes or components for the achievement of robust and quality records management outcomes.

Since 2009 the University has reached a number of important milestones with regards to the development of its records management capabilities. These have included:

- The establishment of the Central Records and Archives Unit, now known as Records Management;
- Revision of the Records Management policy, creation of a USP Archives policy and development of associated procedures and support documents and processes;
- The acquisition and implementation of an electronic document and records management system – (HP TRIM/Records Manager);
- The implementation of the USP Retention and Disposal Schedule covering all aspects of the University's work, including all student management, research management, finance and human resource management, and executive administration;
- The establishment of consultative workings groups and committees, as required;
- Formalised relationships with records management partners across the Pacific and Australasia.

The Records Management Framework has been developed to consolidate and identify elements of the University's records management structure and helps to ensure that the activities of the Records Management office align to the University's strategic priorities. The development of the Framework, which also directs the annual work plans of the Records Management office, has been framed by four considerations:

- The University's strategic priorities and objectives, as documented in University Strategic Planning documents;
- International Standards and best practice examples for the structure, scope and reach of records management programs;
- Appropriate evidential activities to enable the University to demonstrate transparency and compliance;
- Records Management office collaboration with other USP administrative units as the most effective means for promoting records management best practices (and to achieve Records Management office goals and objectives).

The Framework has been developed to assist the University to meet its statutory obligations in support of transparency and accountability. The identification and preservation of records, that provide both a principal source of business continuity, as well as (through the USP Archive) administrative, legal, financial and historical records, is an important feature of the Framework. The Framework identifies records governance indicators and supporting structures and resources to enable organisational units to manage record assets in their care in a manner that is planned, controlled, monitored, recorded and auditable.

Quality

The endeavour for quality underpins the design and function of the Framework and its associate parts. The Framework has been informed by the features of quality frameworks that have become prevalent across most universities where quality is not just expected but rather articulated, managed and improved upon, and in particular the *USP Quality Strategy: Enhancement and Excellence through a Strategic Quality Framework*.

As articulated in the *USP Quality Strategy* the commitment to continuous self review and quality improvement is crucial as a learning institution. Our approach to quality is informed by internal demands and external benchmarks and/or standards. To ensure that stated objectives are 'fit for purpose' the Records Management office has implemented a quality loop into its processes. In terms of this definition, achieving quality requires a cyclic approach: actions lead to results which are compared with the initially stated purposes. The Records Management office utilises an adaptation of the ADRI cycle for quality review, assessment and improvement: (O)ADRI¹.

Performance comparisons have become important aspects of operational, planning and quality improvement in tertiary institutions. The Records Management office has incorporated cyclic benchmarking exercises with comparable, and aspirational, universities and standards to validate and/or highlight areas for improvement in current activities, and to inform future priority areas.

Promotion of the framework document

All staff of the University need to be aware of the Framework and its constituent parts, in particular the Records Management policy. Through the Secretary to Council the Records Management office will work with supervisors and staff to support them in their role, to raise awareness, provide training and provide guidance and policy directives where required.

Review

The Records Management Framework will be reviewed in alignment with the review of the Records Management policy as well as the promulgation of each University Strategic Plan to ensure that it remains current. Legislative and major administrative change would also facilitate a need to review the currency of the Framework document.

The Records Management office aims to ensure that "documents [are] created, received, and maintained as evidence and information ... in pursuance of legal obligations or in the transaction of business" (AS ISO 15489 – Records Management). Records capture accounts of the University's activities and decisions, support customer services and business processes, and enable the University to meet its legal, business and audit obligations. Effective records management applies throughout the lifecycle of a record; from creation, use and maintenance, to disposal and it, like the work of the Records Management office, focuses on four critical components:

1. Management and culture
2. People and skills.
3. Process and practice
4. Technology and systems

The focus the work of the Records Management office as a reminder that our remit is broad and our work and endeavour is and must be more than one-dimensional if we are to meet the needs of the University.

¹ (O)ADRI: (Objective/s) > Approach > Deployment > Results > Improvement cycle.

ADRI is a variant of the Plan > Do > Check > Act cycle made popular by Dr. W Edwards Deming in the 1950s.

THE FRAMEWORK

The following outlines the broad environment within which records are created and managed:

- it describes the factors which determine or influence the creation, management and use of records, including legislation, regulations, compliance, risk, and business needs;
- documents the principles which guide the creation, management and use of information, and
- is a representation of the University's commitment to records management.

Management and culture

Responsibility for records management

The Vice-Chancellor has overall responsibility for ensuring that the University fulfils its legal and business obligations in relation to record keeping and that adequate resources are available for managing and maintaining University records.

The Secretary to Council has a particular responsibility with regards to University records as the designated custodian of the records of the Council, Senate and their committees, as well as ensuring that the University meets its statutory and legislative obligations, internal and external governance and accountability requirements.

Business context

The University is committed to sound records management practices, and the safe-guarding of the record assets of the institution. Records management supports the business performance of the University, and at the same time acts as a risk mitigation instrument. Records and appropriate, controlled access to them support the University's strategic priorities and its business processes by ensuring that efficient decisions are informed with reliable and trustworthy documents.

Staff and the organisational environment

The University will make available, through a deployed and integrated records management system, appropriate access to records that meet the needs of its staff to undertake their roles in a proficient manner. Records enable business decisions to be made with efficient access to information that guides and supports decision-making. Further, records created in the process of University business will be maintained in a secure manner, to aid transparency and accountability.

Organisational culture

A culture that supports and contributes to records management will be cultivated at all levels of the University. The Vice-Chancellor, through the Senior Management Team, demonstrates support for the value of records and information management, and the importance of information sharing. The importance is further evidenced through:

- a desire to understand our business well and make appropriate decisions for effective resource utilization, improve its operations, and foster quality improvement through the utilisation of records and information;
- ensuring approved business rules and methodologies of institutional information-based decision-making is adequate for modern planning, forecasting and modelling;
- providing and supporting access to records management training and guidance to all staff;
- the ongoing provision and resourcing of a records management support unit;
- valuing and supporting records management and associated ICT professionals; and
- providing ongoing capability development for records management and ICT professionals.

People and skills

Roles and responsibilities

All University staff who create, receive and use records have records management responsibilities. Heads of Schools, other units and business functions within the University have overall responsibility for the management of records generated by their activities, i.e. for ensuring that records controlled within their unit are managed in a way which meets the aims of the University's records management policies.

All staff will create and maintain full and accurate records of the business they undertake on behalf of the University. Separate individuals or groups have been identified as having unique responsibilities; these are outlined within the Records Management policy. The eight separate groupings are:

- Vice-Chancellor and President
- Secretary to Council
- Senior Management Team
- Heads of Schools/Departments/Institutes/University organisational units, and Campus Directors
- University staff
- Departing staff and their Supervisors
- Records Management staff
- IT Services

Education and Training

The Records Management office will provide appropriate, ongoing training in records management to all relevant University staff. Training on basic records management roles, as well as more advanced usage of the records management systems, retention and disposal of records, preservation and conservation and appropriate handling of records will be provided. As the breadth of legislation and regulation across member countries expands, which impacts upon records management activities of the University, an extended programme of records management education and training activities will follow.

Other avenues to support the education and training of staff in the practice of records management is made available by the Records Management office. These include, but are not limited to:

- Information Sheets, Good Practice Guides, and manuals
- Provision of HelpDesk services
- Records management webpages
- General records management support services and general tools

Process and practice

The University will, so far as is practicable, seek to ensure that processes and practices are compliant with relevant international standards, in particular the International Standard on Records Management (ISO 15489). The Records Management office will seek to work with and benchmark itself against other universities and other relevant public authorities with the aim of benefiting from best practice experience. Processes and approved records management practices will be documented and promulgated for consistency across the University wherever feasible.

Legislation

The University will comply with relevant legislation that applies to records in each member country. Particular notice is taken of Public Records Acts and Freedom of Information acts, or there equivalent, where they exist. Other legislation that may be applicable to records management and is

therefore monitored includes: copyright; historic/culture preservation; inquiry; library/legal deposit; national archives; official information; evidence; financial transactions; and, of course, national constitutions.

Standards

Records management performs a governance role in relation to records assets and the way in which they are managed, kept secure, made available and disposed of. Standards influence the way in which these aspects are controlled and managed and the University utilises international standards as a way of navigating its multifaceted approach to records management. Some of the International Standards that inform our practices include: Records Management; Document storage; Electronic document long-term preservation; Meta-data; and, Digitization. The University aims to ensure that these Standards are the benchmark of its records management environment.

Policies and procedures

The Framework is aided by the Records Management policy and procedure, the USP Retention and Disposal Schedule and the University Archive policy. Policies, procedures and practices that relate to data management, information management, information security as well as risk management, are all important mechanisms that work with the records management policy and the Framework.

In addition, those policies which intersect with records management functions are also considered component parts of the Framework. These includes policies, procedures and instructions that relate to social media; cloud computing; remote access; as well as, mobile devices.

Business processes

The University considers records as assets and as such has a general claim over them and protects them like any other asset as they are considered vital to both current and future requirements. To be able to maintain records for the purposes of accountability and transparency a number of processes will be engaged to manage University records efficiently. These include:

- Metadata standards (a set of data that gives information about records)
- Records analysis and business classification schemes
- Identification of vital records
- Retention and disposal schedules (and associated processes)
- Storage and retrieval regimes
- Records protection and security
- Disaster preparation and recovery
- Interoperability (between business information systems, where possible)
- University Archive

Increasingly, the rapid change from one IT system (software or hardware) and unavoidable obsolescence will have an impact on both longevity (accessibility) of electronic records, as well as interoperability with other business information systems. The University will endeavour to keep abreast of these challenges, ensuring that its record assets remain accessible and of sufficient quality to meet its needs and requirements.

Technology and systems

The University's records management functions are supported by systems and technology; supporting staff to undertake records management functions.

Systems and technology

A number of technology based systems are made available to aid staff in their functions; these include the University's electronic document and records management system - *HP Records*

Manager, and *Banner*, as well as other business information systems, related hardware and software, and also databases, classification systems, and the USP Retention and Disposal Schedule.

Both the Records Management office and ITS have responsibilities to support the hardware and software of these systems, as well as providing secure connectivity to them. Both onsite and offsite digital storage is an important feature of ensuring reliable access to the system in case of system failure.

All record keeping systems of the University must meet the requirements of the Records Management policy. The provision of a records management support unit to aid staff to appreciate and undertake records management functions is an important component of enabling infrastructure. The Records Management office supports all staff to fulfil the records management needs of the University.

Security

The University's electronic document and records management system control measures, such as access controls, access monitoring, user verification, authorised disposal and destruction and security, are implemented to prevent unauthorised access, destruction, alteration or removal of records. Similar control and access measures are expected of hard-copy records. All staff are personally accountable for the correct management of documents and records generated in the course of their duties or under their direct control.

The University's most important records – Vital Records – are to be identified, registered and held securely in a central repository.

The Records Management office will, wherever possible, provide the infrastructure to support the maintenance of physical records for their longer term preservation, including the University Archive.

Risk, audit, and compliance

A robust records management environment helps to ensure adequate protection of information assets. Proper management of record assets helps reduce risk while at the same time, a robust risk management framework helps protect the University's information and records. By investing in both the University acknowledges the link between risk and records/information and the importance of governing and managing these.

In consultation with the Secretary to Council the Records Management office will conduct periodic compliance and records risk reviews across the University. The University's electronic document and records management system, *HP Records Manager*, is auditable and periodic audits are undertaken by the Records Management office.

The University's general records management environment and control measures are included as an auditable process and is scheduled with the internal audit plan (as per Audit and Risk Committee).

Acknowledgement

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Records Management Framework and quality cycle

