RECORDS MANAGEMENT PROCEDURE

1. Purpose

The purpose of this procedure is to establish a process at The Gordon on the keeping of records to meet all legislative requirements.

2. Scope

This procedure applies to all Gordon staff, whether permanent or temporary, including contractors and volunteers, all records created and collected to support business activities, and in all business systems.

3. Definitions

The following terms and abbreviations are specific to this procedure:

Records: Evidence and information of the organisation activities and decisions. They can be any format including electronic. They include data in all other corporate systems such as the financial system and the HR system.

Electronic Records: Evidence of the organisation activities; they range from Word, excel and email, to all other corporate applications such financial systems, human resources systems and other business databases.

Public Officer: Any person employed in the government agency.

Recordkeeping: Making and maintaining complete and accurate evidence of all business transactions.

Records Retention and Disposal Authority: The authorities that are governed by the Public Records Office on the retention and disposal of all records created by The Gordon.

NAP: Normal Administrative Practice.

4. Procedure

ACTION	RESPONSIBILITY	GUIDANCE
Create official registered hardcopy folders	Records Manager and CM User	• Staff should request official folders registered on CM from the Records Manager to file all their business documents in. • Areas on CM can request folders from their CM users.
Maintain hardcopy registered folders	All staff	• All register folders are identified by a CM number and a folder title. • Folders are assigned to the staff that requested it unless specified. • The responsibility of the folder lies with the staff member.
Moving a hardcopy folder to another staff member	All staff	• Locate the folder in CM. • CM users can update CM to indicate the new location of the folder. • Non-CM user needs to contact the Records Manager to update CM. • Give the folder to the staff member.

ACTION	RESPONSIBILITY	GUIDANCE
Archiving hardcopy folders to storage	All staff	• Staff should archive folders once they are inactive (normally after 2 years) • Obtain boxes from bookshop. • Remove all bulldog clips in folders. • Put like folders in a box (please contact Records Manager if unsure) • Contact Records Manager to arrange pick up of boxes. *If you are archiving registered CM folders, you do not need to fill out a records transfer form.* *If you are archiving folders that are not registered on CM a records transfer form would need to be filled out.* ➤ Refer *Hardcopy Records – Archiving Procedure RM PR 07* and *Archive Description Form – for transfer to archives RM FO 07.01*
Retrieving hardcopy folders from storage	Staff Member / Records Manager	• Search CM for the folder that you require. • Request folder by sending email to Records Manager. • Check the location of the folder in CM and locate the folder. • Go to storage area and retrieve folder. • Update CM to reflect the folder movement. • Deliver the folder to the staff member.

Electronic Folder Management

If you are on CM, you can create electronic folders on CM if only electronic documents are in that folder.

ACTION	RESPONSIBILITY	GUIDANCE
Creating electronic folders	CM User	• Electronic folders can be created on CM stored in an appropriate category if there is no hardcopy documentation. Contact the Records Manager if unsure.
Saving electronic documents to CM	CM User	• Search CM for the folder that you require. • Electronic documents such as Word and emails can be saved onto the appropriate CM folder. These can then be removed from your inbox or drives as it is saved onto CM. • Hardcopy documents can be scanned and saved onto CM electronically. • The hardcopy document must be filed physically in the hardcopy CM folder as it is the original.

ABN 27 241 053 246

Gordon Folders Overview

These folders are created on CM electronically, hardcopy or both.

TYPE	DETAILS	FOLDER NUMBERING PATTERN	FOLDER TITLING
Gordon Folders (CM - yellow)	Are used for administrative and operational information that does not have a specific folder type. Folders such as Minutes, Agendas, Project planning…etc.	F/11/1 (Folder– year – next generated number)	Classification and Free Text Title GOVERNANCE – Projects – free text title
Contract Folders (CM - green)	Are used for specific information relating to an actual contract. Each contract within The Gordon should have a Contract folder Folders can be created for filing the contracts and other related information by notifying the Records Manager.	CO/11/1 (Contract – year – next generated number)	Classification, Contract name and Contract number CONTRACTS – Tendering – Cleaning Company C109
Personnel Folders (CM - orange)	Personnel folders are created for every staff member on appointment. Personnel folders should only contain records relating to the management of a staff members' employment. Personnel records contain information about individuals that is highly sensitive and must be adequately protected from unauthorised access. Records Manager will create HR Personnel folders when notified by the Human Resource office. Personnel folders are stored securely within the Human Resources office managed by SHRD.	NNNNN (a number that is generated by CM in sequence)	Mandatory Classification HUMAN RESOURCE MANAGEMENT – Personnel Folders – Staff member name (SURNAME and First name)
Student Folders (purple)	Student Folders contain information regarding the specific student. These can contain information such as enrolment details, prior learning recognition and contact details.	Record number generated by e-Central	Classification and Student number ACADEMIC – Student Records - 10987

TYPE	DETAILS	FOLDER NUMBERING PATTERN	FOLDER TITLING
	These folders are usually electronic.		
Working Folders	Staff may retain some draft information and rough notes on a working folder, such as a manila folder for hardcopy information. These folders do not need to be registered on CM and can be disposed of at any time under normal administrative practice (NAP).	N/A	N/A

Document management

Titling Conventions for Documents

The advantages to standardising the titling for registering hardcopy documents and saving electronic documents are:

- Access documents efficiently and rapidly.
- Reduce redundancy or duplication of documents and printing multiple copies.
- Avoid loss of information.
- Sharing documents easily.
- Finding the latest and most current version of a document.

When saving documents in CM, the title field is very important, as this metadata is what makes the document searchable and retrievable.

- Always write in whole words, abbreviations are permitted only in brackets after the whole word.
- What is the document about? This is about the content of the document
- Whom is the document produced for? This is the audience of the document
- Why is the document produced? This is the purpose or activity of the document.
- When is the document produced? This is a date field and is constructed in the YYYY-MM-DD format.

All documents

All documents that are created to support the ongoing business should be captured onto CM or filed in an official Gordon folder.

ACTION	RESPONSIBILITY	GUIDANCE
Saving any supporting documents onto CM	Author	- Save documents to CM electronically - Assign the electronic documents to an appropriate folder on CM - Make sure documents are marked final(read only) - File hardcopy documents into an appropriate Gordon folder If you are unsure which folder to place a document in, please seek guidance from Records Manager.

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Email

If an email supports the ongoing business of The Gordon it is to be saved into CM using the catalogue button within Outlook Folder. If the answer to any of the following questions is 'yes' then the email should be registered on CM or can be printed and placed onto an official Gordon folder. Please seek advice from Records Manager to discuss CM if necessary.

The following questions can assist in determining if an email supports ongoing business:

- Was the email received in the course of my work?
- Does the email document an action approved?
- Does the email provide advice, a decision or give a direction?
- Does the email relate to a project or task that I am working on?

Document version control

CM will automatically capture revisions of your documents. Every time a document is checked out of CM, (editing) then checked back in (saving) a new revision would be created.

Disposal of Records

ACTION	RESPONSIBILITY	GUIDANCE
Disposal of Records	Records Manager and relevant Manager	- All disposal of records should be first consulted with the Records Manager as there are disposal and retention authorities and standards that disposal must comply with. - Sensitive records are disposed of in a secure manner in secure shredding bins. - The Records Manager documents all disposals on CM. - The company responsible for secure record disposal will provide a certificate of destruction for records.

6. Responsibilities

Position	Responsibility
Records Manager	Responsible for the communication of record management standards and regulatory requirements to Gordon staff.
Director of People and Quality	Responsible for ensuring that the Records Management Program is monitored regularly and maintained in accordance with legislative requirements.
Gordon employee	Responsibility to create and keep records that adequately record The Gordon's activities and should manage their electronic records in accordance with this policy.

7. Key aligned internal documents

Records Management Policy RM PO 01

Privacy Policy RM PO 04

Privacy and Staff Records Procedure RM PR 05

Release of Student Information RM PR 06

Hardcopy Records – Archiving Procedure RM PR 07

Archive Description Form – for transfer to archives RM FO 07.01

Data Backup Policy IS PO 05

8. Key aligned external documents

Public Records Act 1973 (Vic)

Evidence Act 2008 (Vic)

The Crimes Act 1958 (Vic)

Freedom of Information Act 1982 (Vic)

Health Records Act 2001 (Vic)

Health Privacy Principles (Vic)

Electronic Transaction Act 2000 (Vic)

Privacy Act 1988 (Cth)

Australian Privacy Principles (Cth)

Privacy and Data Protection Act 2014 (Vic)

Information Privacy Principles (Vic)

AS ISO 15489 Records Management

PROS 07/01 Retention and Disposal Authority for Records of Common Administrative Functions 2019 (Vic)

PROS 02/01 Retention & Disposal Authority for Records of the Higher and Further Education Functions 2016 (Vic)

9. Review and approval

	Position	Area
Author / reviewer:	Records Manager	Quality and Risk Management
Custodian:	Director	People and Quality
Review schedule:	This procedure will be reviewed every 3 years (or earlier as required)	
Last reviewed / updated:	21 May 2020	