Records Management Procedure

1. Purpose

This procedure outlines The Gordon's commitment to complying with the *Public Records Act 1973 (Vic)* and associated legislation by ensuring that records are managed in a systematic, efficient, and accountable manner throughout their lifecycle.

2. Scope

This procedure applies to all staff and contractors (including those working remotely) and covers all formats of records (including electronic and hardcopy) that are created or received at The Gordon.

3. Policy

This Procedure is pursuant to the *Records Management Policy RM PO 01*.

4. Procedure

Action	Responsibility	Guidance
Hardcopy Folder Management		
Creating Hardcopy Folders (incl. Student Folders)	All Staff	All folders should be clearly labelled with reference to the contents (e.g. Student name, ID and course).
Archiving Hardcopy Folders to Storage	All staff	Staff should archive folders once they are inactive (no longer is use). Refer to *Hardcopy Records – Archiving Procedure RM PR 07.* Complete the *Archive Description Form – for transfer to archives RM FO 07.01.*
Requesting Hardcopy Folders from Storage	Staff Member	Request folder by sending email to Records Manager. Ensure key relevant search detail is provided (e.g. Student Id, Surname, Dates, Course Code and or Title). Refer to *Hardcopy Records – Archiving Procedure RM PR 07*
Retrieving Hardcopy Folders from Storage	Records Manager	Search CM for the folder by using student name or ID number. Check the location of the archive box in CM and locate the folder. Go to storage area and retrieve folder. Update CM current location to reflect the folder movement. Deliver the folder to the staff member by internal mail. Refer to *Archives Internal Operating Procedure.* Refer to *Hardcopy Records – Archiving Procedure RM PR 07*

Electronic Folder Management Authorised Staff (People Safety & Culture and the Project Contract Management Office), can create electronic folders on CM. Unauthorised Staff cannot create electronic folders on CM, and must contact the Records Manager where a folder is required.		
Creating Electronic Folders	CM Authorised User	Electronic folders can be created on CM stored in an appropriate category. Contact the Records Manager if unsure.
Saving Electronic Documents to CM	CM Authorised 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 original documents can be scanned and saved onto CM electronically. Note: Do not dispose of the original hardcopy document/s (even if digitised). The original hardcopy document must be archived.

Gordon Folders Overview These folders are created on CM electronically, hardcopy or both.			
Type	**Details**	**Folder Numbering Pattern**	**Folder Tilting**
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.	FOL/23/1 (Folder– year – next generated number)	Classification and Free Text Title GOVERNANCE – Projects – free text title
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. PSC staff have access to create Personnel Folders in CM. Personnel folders are to be stored securely with restricted access to PSC and Records staff.	HR/*________ (*a 6-digit number that is generated by CM in sequence)	Mandatory Classification HUMAN RESOURCE MANAGEMENT – Personnel Folders – Staff member name (SURNAME and First name)

Student Folders (CM purple)	Student Folders contain information regarding the specific student. These can contain information such as enrolment details, prior learning recognition and contact details. These folders are usually electronic.	*______ (* 8-digit folder number generated by e-Central)	Classification and Student number ACADEMIC – Student Records - 10987
Working/ Reference 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 - Naming/ Titling Conventions for Documents

When saving records, users are required to title their records in a consistent, meaningful and structured way. An example of how a record can be titled is 5 criteria naming convention which can be rearranged or added to.

This is a guide only:

1. Year (4 digits)
2. Month or Semester
3. Name of; Project, Course, Committee, Company, Student, Staff etc
4. Type of Record: Letter, Minutes, Assessment, Report, Poster etc.

Example: 2022 – January – Accounting Courses Committee – Minutes

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. 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.

Email

Emails that are created or received by staff of The Gordon, are considered digital records of the organisation and therefore are required to be managed in terms of retention and disposal. If an email supports a business transaction, decision or administrative process, it is recommended that it be saved into Content Manager or a relevant Gordon Business System specific to the business area (e.g. finance system, student or risk management system).

Staff without access to Content Manager or a Gordon Business System should manage these emails on a share drive folder set up by CIS for the purpose of capturing business records. If neither of these options are achievable, ensure that the email is not deleted and remains as part of your inbox for back up purposes.

Backups of email accounts are implemented in accordance with *IS PO 05 Data Back Up Policy* and staff should also be aware of the requirements for the use of email under *IS PO 06 Email Policy*.

Authorised users of CM are encouraged to assist others where possible to save emails related to important or vital matters. Staff should seek advice from the Records Manager on Content Manager if access is needed or a folder is required to capture records.

Staff are also requested to seek advice if unsure as to where records should be saved or to request bulk transfer of records from share drives to Content Manager.

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

The Gordon has on site archives which can store hardcopy records. For original hardcopy records that are vital or important and are considered to be inactive (not currently in use) they are to be sent to The Gordon's Archives (Refer to *Hardcopy Records - Archiving Procedure RM PR 07*).

Records that are not considered to be vital or important (NAP) can be disposed of. If the hardcopy record contains sensitive, student, personal or Gordon information, then the records must be securely disposed of by placing in secure destruction bins or bags.

Refer to *Records Management Policy RM PO 01* for detailed information on disposal of records.

Action	Responsibility	Guidance
Disposal of Records	Records Manager and Director or relevant officer	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. Once the records have passed their retention period, a list will be forwarded to the relevant Director to review and approve the disposal. Refer to *Internal Template - Proposed Physical Records Disposal Report* Once approved the Records Manager will organise disposal by a destruction provider. The Records Manager documents all disposals on CM by saving the approval emails and also marking the archive boxes as being 'destroyed'. *Refer Archives Internal Operating Procedure*

5. Responsibility

Position	Responsibility / Governance
Records Manager	Responsible for the communication of record management standards and regulatory requirements to Gordon staff.
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.

6. Definitions

The following terms and abbreviations are specific to this procedure:

Name	Description
Content Manager (CM)	CM is a records management system that can manage both digital and hardcopy records. For Gordon staff to use CM they must have an active CM license and CM is to be installed on their computer.
Digital Records	Electronic records stored on electronic device such as a computer, phone or tablet. Digital records can be in many formats such as email, word processing documents, video, photographs and messages.
Gordon Business System	An approved business system/ database specific to the business area that is used to store records (e.g. finance system, student management system).
Hardcopy Records	Paper based or physical records such as printed or handwritten documents, publications, certificates, maps, plans and photographs.
Normal Administrative Practice (NAP)	Public Records may only be destroyed by a public sector employee provided that they fall within the category of NAP. This allows for the disposal of drafts/working notes, duplicates or copies of documents and external reference material.
Public Record	Evidence of business activities, transactions or administrative records that have been created or received by a Gordon employee in the course of their duties.
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.
Retention and Disposal Authorities (RDA)	Standards issued by PROV that defines the minimum retention periods of records. The two main RDA's that are applicable to the Gordon are PROS 07/01 and PROS 16/07.
Retention Period	The minimum period of time that a record needs to be retained prior to destruction.
Secure Destruction	The process of eliminating or deleting records, beyond any possible reconstruction
Working / Reference Folder	A hardcopy folder containing documents that are used for admin and or reference purposes only (copies of emails, external publications, rough notes)

7. Key Aligned Internal Documents

Refer to the Operational Management System (OMS) for copies of all policies, procedures and supporting documents. Also refer to *Content Manager CM*.

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 Legislation / 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)

The 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 (Cth)

AS ISO 15489 Records Management

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

PROS 16/07 Retention and Disposal Authority for Records of the Higher and Further Education Functions 2016 (Vic)

9. Review and Approval

Business Process Owner	Head of Business Services		
Endorsed by (if applicable)	Not applicable	**Endorsed Date**	
Approved by (if applicable)	Not applicable	**Approved Date**	25 October 2024
Review schedule	This procedure will be reviewed every 3 years (or earlier as required)		
Date of next review	25 October 2027		

Minor Structure changes outside of Review schedule		