

1 Purpose

To establish the framework for records and Information management within the University and to assist and enable the University to meet its Regulatory Compliance Obligations and business needs.

2 Scope

This policy applies to all University Members and to all University Records and Information, in any format, created or received, to support University business activities.

3 Policy Statement

The University recognises records and Information as valuable corporate assets and is committed to achieving appropriate and ongoing management of these assets to advance the University's strategic priorities.

This policy aligns with:

- *Higher Education Standards Framework (Threshold Standards) 2021: Standard 7.3 Information Management*

4 Principles

In the management of its records and Information assets, the University is committed to:

- an enterprise approach based on the University's Records and Information Management Framework
- pursuing a best-practice culture where the University complies with relevant Regulatory Compliance Instruments and has particular regard to any relevant policy, standards and guidelines made by the Queensland State Archivist (*Public Records Act 2002*, s.7)
- implementing and maintaining adequate records and Information systems, internal controls and risk management to meet University business needs
- providing a robust and secure operating environment enabling accountability and return

on investment

- ensuring records and Information roles and responsibilities are clearly defined
- responsible collection, retention and handling of sensitive and confidential records and Information including an open and transparent approach to access.

4.1 Records and Information management framework

Records and Information management programs and activities are delivered in accordance with the University's Records and Information Management Framework to enable the University to meet its business needs and Regulatory Compliance Obligations. This includes but is not limited to any relevant policy, standards and guidelines issued by the Queensland State Archivist (*Public Records Act 2002*, s.7).

Enterprise Information Management Services leads University efforts to meet records and Information management obligations while proactively supporting University business activities.

5 References

University of the Sunshine Coast. (2015). *Information and Records Management - Procedures*. Retrieved December 15, 2023, from <https://www.usc.edu.au/about/policies-and-procedures/information-and-records-management-procedures>

6 Schedules

This policy must be read in conjunction with its subordinate schedules as provided in the table below.

7 Policy Information

Accountable Officer	Deputy Vice-Chancellor (Enterprise Services)
Responsible Officer	Deputy Vice-Chancellor (Enterprise Services)
Policy Type	Executive Policy
Policy Suite	Records and Information Management Procedure
Subordinate Schedules	
Approved Date	12/12/2018
Effective Date	12/12/2018

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Review Date	14/12/2028
Relevant Legislation	AS ISO 15489.1:2017 Electronic Transactions (Queensland) Act 2001 Evidence Act 1977 Financial Accountability Act 2009 Financial and Performance Management Standard 2019 General Retention and Disposal Schedule (GRDS) Higher Education Standards Framework (Threshold Standards) 2021 Information Privacy Act 2009 Information security policy (IS18:2018) Metadata management principles Public Interest Disclosure Act 2010 Public Records Act 2002 Records governance policy Right to Information Act 2009 University Sector Retention and Disposal Schedule
Policy Exceptions	Policy Exceptions Register
Related Policies	Administrative Access Scheme Policy Code of Conduct Policy Enterprise Architecture Policy Enterprise Risk Management Policy Handling Personal Student Information Policy and Procedure Historical Archives Collection Policy ICT Information Management and Security Policy Privacy Policy

	Public Interest Disclosure Policy Right to Information Policy
Related Procedures	Administrative Access Scheme Procedure Engagement of Cloud Computing Services Procedure Information Asset and Security Classification Procedure Research Data and Primary Materials Management Procedure Right to Information Procedure Use of Electronic Mail Procedure User Experience Architecture Procedure
Related forms, publications and websites	Cloud Computing Use Inherent Risk Schedule Enterprise Information Management Framework (EIM Framework) Enterprise Information Management Services Higher Education Standards Framework (Threshold Standards) 2021 Queensland State Archives Records Compliance Framework
Definitions	<p>Terms defined in the Definitions Dictionary</p> <p>Information</p> <p>Any collection of data that is processed, analysed, interpreted, organised, classified or communicated in order to serve a useful purpose, present facts or represent knowledge in any medium or form. This includes presentation in electronic (digital), print, audio, video, image, graphical, cartographic, physical sample, textual or numerical form.</p> <p>Regulatory Compliance Instrument</p> <p>An external compliance instrument provided by legislation, regulation, standards, statutes or rules, including subordinate instruments.</p> <p>Regulatory Compliance Obligation</p> <p>An external obligation provided in Regulatory Compliance</p>

	<p>Instruments.</p> <p>University Record</p> <p>Any recorded information created or received that provides evidence of the decisions and activities of the University while undertaking its business. This is irrespective of the technology or medium used to generate, capture, manage, preserve and access those records.</p>
	<p>Definitions that relate to this policy only</p>
<p>Keywords</p>	
<p>Record No</p>	<p>13/427PL</p>