



Title:

Vital Records Policy

Version	1.0
TRIM file number	06/89
Short description	A policy on the identification, registration, storage and disposal of vital University records
Relevant to	All employees
Authority	Executive Committee of Council
Responsible officer	Manager, University Records
Responsible office	Division of Information Technology
Date introduced	TBA
Date(s) modified	10 August 2009
Next scheduled review date	August 2012
Related University documents	Records Management Policy
Related legislation	
Key words	Policy, vital, records, identification, registration, storage, disposal, agreements, contracts, leases, licenses

1. PURPOSE

- 1.1 This policy sets out Charles Sturt University's (CSU's) management principles on the identification, registration, storage and disposal of vital University records.
- 1.2 The objective of the Vital Records Policy is to assist staff to identify those records without which the University could not continue to function effectively.

2. SCOPE

- 2.1. This policy applies to all employees of the University, and all vital records of the University.

3. REFERENCES

Records Management Policy

4. DEFINITIONS

Vital Records

Vital records are records that are essential for the ongoing business of the University and without which the University could not continue to function effectively. Such records may be considered vital only in the short term, or may retain this status indefinitely. These records include original signed copies of agreements, contracts, leases and licenses, official signed copies of minutes of meetings of committees of the University, financial and personnel records, policy records, the final copy of the academic transcript of each student of the University, and other records of continuing value to the University or the community.

5. RESPONSIBILITIES

- 5.1. The University and its employees must be able to account to the appropriate authorities and to the public, and to meet statutory obligations, audit requirements, relevant standards and codes of practice, and community expectations. Relevant legislative requirements are embodied in the Charles Sturt University Records Disposal Schedule.
- 5.2 Identification of vital records is the responsibility of heads of organisational units in consultation with the University Records Manager. All vital records should be designated as such in the Charles Sturt University record keeping package TRIM.

6. FORMAT AND STORAGE

- 6.1 Where possible vital records in hardcopy format should be scanned and captured within TRIM. The hardcopy should be stored:
 - a) In conditions that are clean, with low risk of damage from fire, water, dampness, mould, insects and rodents;

- b) In conditions that are secure from unauthorised access, destruction, alteration or removal;
- c) Away from direct sunlight and other sources of heat and light;
- d) Preferably in an area that is well ventilated and maintained at stable temperature and humidity.

This will assist in protecting vital records from unauthorised access and/or physical harm.

- 6.2 Records in non-hardcopy formats may require specialised storage conditions and handling processes that take into account their specific properties. Vital records and records of continuing value, irrespective of format, require higher standards of storage and more careful maintenance and handling procedures to preserve them for as long as that value exists.
- 6.3 Heads of organisational units should discuss their requirements with the University Records Manager, who can provide advice on appropriate formats and storage.

7. AGREEMENTS, CONTRACTS, LEASES AND LICENSES

- 7.1 Original, signed agreements, contracts, leases and licenses are vital records of the University. They impose obligations and protect the rights of the University, and are essential for the conduct of its business.
- 7.2 Vital records of the University shall be registered as follows:
 - a) Organisational units within the University shall register all agreements, contracts, leases and/or licenses entered into on behalf of the University in TRIM;
 - b) The TRIM folder allocated to the document shall contain the following information:
 - A unique identifier;
 - The names of the parties to the document;
 - A brief description of the nature of the document;
 - The date of signing;
 - The date of renewal/expiry of the document;
 - Recurring payments/receipts due/other actions (if applicable);
 - Other information required by the organisational units; and
 - Date of disposal or transfer to CSU Regional Archives.
- 7.3 Legal records shall be otherwise managed in accordance with the *Legal Policy and Procedure*.

8. DISPOSAL OF VITAL RECORDS

- 8.1 Decisions regarding the retention or destruction of all records must be recorded, authorised and monitored.

8.2 Disposal of all official records of the University is governed by the State Records NSW General Disposal Authorities.

Table of Amendments

Version number	Date	Short description of amendment
1.0	10 October 1996	Introduction of new policy, merging the <i>Policy for the Management of Vital Records</i> and the <i>Policy for the Management of Agreements, Contracts Etc.</i>