The CIP assists you to determine areas of weakness in your Records Management and gives you achievable actions to improve your practices.

**Q: What does ‘format neutral’ mean?**

**A: Whatever format a record is in – electronic or paper – it should be treated the same way.**

The Public Records Act says that a record is ‘anything made or received by an officer in the course of their duties.’ This means that it doesn’t matter whether it’s electronic or hardcopy – it still has to be managed according to the same rules around access, control, disposal and storage.

If you are looking at your records management practices, it’s important to make sure that you include all records in your assessment - shared drives, any business systems, email and other electronic records as well as hardcopy files in your

Any questions?
Records Services staff can provide advice about records management

**Contact us on ext. 43534 or records-services@unimelb.edu.au**

---

**Getting better all the time**

The University, as a public agency in Victoria, is obliged to comply with mandatory standards for records management issued by the Public Record Office Victoria. Records Services has developed a toolkit to support self-assessment for compliance and to guide your steps to improvement.

The tool kit – known as the Continuous Improvement Program (CIP) – is a series of self-completed worksheets that allow a business area to assess their records management maturity.

Each worksheet links to a different Public Record Office (PROV) Standard. Completion of them will identify the maturity of the business unit on a scale from ad-hoc to optimised.

This information is then scored and transferred to a simple grid, giving a pictorial overview of the strengths and weaknesses of the business unit against each Standard.

From this, a business unit can determine which areas need to be included in work planning to ensure improvement in records management.

However, the tool doesn’t end there. As part of the supporting resources, a next steps grid has been created to support business units to identify key actions that are both simple and achievable. While some require resourcing, many can be achieved by working with Records Services on training and simple processes and procedures.

The CIP assists you to determine areas of weakness in your Records Management and gives you achievable actions to improve your practices.

The CIP is available from Records Services, and training is available to support its implementation.
The University changes every day, amalgamating departments, faculties and even whole institutions. In the midst of all this change, it's important to remember that records created by predecessor institutions, department or faculties are still the responsibility of the University. It's essential to manage these legacy records correctly and transfer permanent records to Records Services so that they can become a research resource in the future. If you have legacy records in your area, you need to ensure that they are managed just like your current records. Undertake disposal on them, store them correctly and transfer permanent records to Records Services so that they can become part of the University’s archives.

The University’s archives.

Interested in Legacy Records? More...

What is disposal?

Most people think disposal means destruction of records, but this is only partially correct. Disposal can also mean the permanent retention and transfer of records.

The University Records Retention and Disposal Authority (RDA) is used to determine whether a record is permanent or temporary – and if temporary, how long it must be retained. The value of the record governs how it should be stored and preserved.

The University retains permanent records forever in the University Archives so that they can be a research resource in the future. If permanent records are no longer being used, they can be transferred to Records Services. These records need special care as to how they are boxed and listed.

Temporary records that are not due for destruction yet are stored by the business unit until they are able to be destroyed. Proper procedures for destruction methods and final sign off should be followed.

You can find the RDA and information about procedures on the Records Services website.

Shared Drives

Shared drives are one of the main ways in which the University shares information across teams, units, departments and faculties. While they are fantastic for doing this, unless they are very carefully managed, they can become dumping grounds for information that no one knows about.

If you do not have access to a recordkeeping system, a well organised shared drive will enable you to capture and access your records.

There are tools to help you apply records management best practice to shared drives such as the Enterprise Classification Scheme. An organised shared drive becomes a highly effective information management tool, providing a central location where employees can access important business and operational documents.

Email is important too! Often you can only fully understand a sequence of events from a combination of email and other documents. To manage emails better, in context, they can be converted to pdf (ensuring all details are preserved) and captured on a shared drive with related documents or, even better, kept on a file in HP TRIM.

If you do not have access to a recordkeeping system, a well organised shared drive will enable you to capture and access your records.

If this sounds like you, then there is hope – organising the shared drive is not as bad as it might at first seem.

The first thing to identify is what is current and what is legacy – and move the current records into a system that will allow them to be easily accessed by all. The University’s Enterprise Classification Scheme (ECS) has been specially created for this, and gives a consistent structure to managing records.

This consistency means that if you are looking for something, it should be easy to find it, because it will have been filed in accordance with the agreed conventions in your team. This eliminates duplication and loss of records when someone leaves – after all, who’s going to know what you have in your ‘My Stuff’ folder?

The other advantage of this kind of organisation is that if you need to move your shared drive from server to server, a clear and logical structure allows for a simple transition, possibly without staff noticing the difference.

What is disposal?

Most people think disposal means destruction of records, but this is only partially correct. Disposal can also mean the permanent retention and transfer of records.

If you do not have access to a recordkeeping system, a well organised shared drive will enable you to capture and access your records.

There are tools to help you apply records management best practice to shared drives such as the Enterprise Classification Scheme. An organised shared drive becomes a highly effective information management tool, providing a central location where employees can access important business and operational documents.

Email is important too! Often you can only fully understand a sequence of events from a combination of email and other documents. To manage emails better, in context, they can be converted to pdf (ensuring all details are preserved) and captured on a shared drive with related documents or, even better, kept on a file in HP TRIM.

If you do not have access to a recordkeeping system, a well organised shared drive will enable you to capture and access your records.

If this sounds like you, then there is hope – organising the shared drive is not as bad as it might at first seem.

The first thing to identify is what is current and what is legacy – and move the current records into a system that will allow them to be easily accessed by all. The University’s Enterprise Classification Scheme (ECS) has been specially created for this, and gives a consistent structure to managing records.

This consistency means that if you are looking for something, it should be easy to find it, because it will have been filed in accordance with the agreed conventions in your team. This eliminates duplication and loss of records when someone leaves – after all, who’s going to know what you have in your ‘My Stuff’ folder?

The other advantage of this kind of organisation is that if you need to move your shared drive from server to server, a clear and logical structure allows for a simple transition, possibly without staff noticing the difference.

What is disposal?

Most people think disposal means destruction of records, but this is only partially correct. Disposal can also mean the permanent retention and transfer of records.

If you do not have access to a recordkeeping system, a well organised shared drive will enable you to capture and access your records.

There are tools to help you apply records management best practice to shared drives such as the Enterprise Classification Scheme. An organised shared drive becomes a highly effective information management tool, providing a central location where employees can access important business and operational documents.

Email is important too! Often you can only fully understand a sequence of events from a combination of email and other documents. To manage emails better, in context, they can be converted to pdf (ensuring all details are preserved) and captured on a shared drive with related documents or, even better, kept on a file in HP TRIM.

If you do not have access to a recordkeeping system, a well organised shared drive will enable you to capture and access your records.

If this sounds like you, then there is hope – organising the shared drive is not as bad as it might at first seem.

The first thing to identify is what is current and what is legacy – and move the current records into a system that will allow them to be easily accessed by all. The University’s Enterprise Classification Scheme (ECS) has been specially created for this, and gives a consistent structure to managing records.

This consistency means that if you are looking for something, it should be easy to find it, because it will have been filed in accordance with the agreed conventions in your team. This eliminates duplication and loss of records when someone leaves – after all, who’s going to know what you have in your ‘My Stuff’ folder?

The other advantage of this kind of organisation is that if you need to move your shared drive from server to server, a clear and logical structure allows for a simple transition, possibly without staff noticing the difference.

Records management activity needs to be covered to manage records adequately.

Key concepts

Create and Capture

• know the high risk areas of business
• ensure records are created or kept
• use appropriate systems and processes

Control

• register records at source, preferably in digital form
• have a well understood way of organising records

Storage

• make storage secure, for hard copy and digital
• use storage methods that preserve the record in usable form for its entire life

Access

• administer security and access with full understanding of privacy and related requirements

Disposal

• only destroy records when it is legally permitted
• destroy records securely
• ensure permanent records are kept

Procedures and Systems

• ensure training, procedures and systems are adequate and fit for purpose

Each of these six areas of records management activity needs to be covered to manage records adequately.

What is disposal?

Most people think disposal means destruction of records, but this is only partially correct. Disposal can also mean the permanent retention and transfer of records.

If you do not have access to a recordkeeping system, a well organised shared drive will enable you to capture and access your records.

There are tools to help you apply records management best practice to shared drives such as the Enterprise Classification Scheme. An organised shared drive becomes a highly effective information management tool, providing a central location where employees can access important business and operational documents.

Email is important too! Often you can only fully understand a sequence of events from a combination of email and other documents. To manage emails better, in context, they can be converted to pdf (ensuring all details are preserved) and captured on a shared drive with related documents or, even better, kept on a file in HP TRIM.

If you do not have access to a recordkeeping system, a well organised shared drive will enable you to capture and access your records.

If this sounds like you, then there is hope – organising the shared drive is not as bad as it might at first seem.

The first thing to identify is what is current and what is legacy – and move the current records into a system that will allow them to be easily accessed by all. The University’s Enterprise Classification Scheme (ECS) has been specially created for this, and gives a consistent structure to managing records.

This consistency means that if you are looking for something, it should be easy to find it, because it will have been filed in accordance with the agreed conventions in your team. This eliminates duplication and loss of records when someone leaves – after all, who’s going to know what you have in your ‘My Stuff’ folder?

The other advantage of this kind of organisation is that if you need to move your shared drive from server to server, a clear and logical structure allows for a simple transition, possibly without staff noticing the difference.

What is disposal?

Most people think disposal means destruction of records, but this is only partially correct. Disposal can also mean the permanent retention and transfer of records.

If you do not have access to a recordkeeping system, a well organised shared drive will enable you to capture and access your records.

There are tools to help you apply records management best practice to shared drives such as the Enterprise Classification Scheme. An organised shared drive becomes a highly effective information management tool, providing a central location where employees can access important business and operational documents.

Email is important too! Often you can only fully understand a sequence of events from a combination of email and other documents. To manage emails better, in context, they can be converted to pdf (ensuring all details are preserved) and captured on a shared drive with related documents or, even better, kept on a file in HP TRIM.

What is disposal?

Most people think disposal means destruction of records, but this is only partially correct. Disposal can also mean the permanent retention and transfer of records.

If you do not have access to a recordkeeping system, a well organised shared drive will enable you to capture and access your records.

There are tools to help you apply records management best practice to shared drives such as the Enterprise Classification Scheme. An organised shared drive becomes a highly effective information management tool, providing a central location where employees can access important business and operational documents.

Email is important too! Often you can only fully understand a sequence of events from a combination of email and other documents. To manage emails better, in context, they can be converted to pdf (ensuring all details are preserved) and captured on a shared drive with related documents or, even better, kept on a file in HP TRIM.

What is disposal?

Most people think disposal means destruction of records, but this is only partially correct. Disposal can also mean the permanent retention and transfer of records.

If you do not have access to a recordkeeping system, a well organised shared drive will enable you to capture and access your records.

There are tools to help you apply records management best practice to shared drives such as the Enterprise Classification Scheme. An organised shared drive becomes a highly effective information management tool, providing a central location where employees can access important business and operational documents.

Email is important too! Often you can only fully understand a sequence of events from a combination of email and other documents. To manage emails better, in context, they can be converted to pdf (ensuring all details are preserved) and captured on a shared drive with related documents or, even better, kept on a file in HP TRIM.