

Records Procedure - Archives Management

Section 1 - Background and Purpose

Preamble

(1) The University will develop, preserve, exhibit and provide access to its archival collections for the purposes of preserving the University's own historical records, and supporting its teaching and research programs and knowledge transfer agenda.

(2) The roles of the University Archives are:

- a. to identify, collect and help preserve archival records documenting the corporate and social history of the University, contributing towards efficient and effective knowledge management; and
- b. to facilitate access to University and other archival collections, supporting the University's present and future teaching, learning and research needs.

General

(3) Records and Archives Services (RAS) is responsible for the management of the University Archives.

- a. The University Archives will identify, collect, preserve and/or advise on the preservation of the archival records of the administrative and academic units of the University.
- b. The University Archives will acquire and preserve the records of individuals and organisations associated with the University, within applicable collection guidelines and available capacity.
- c. The University Archives will acquire and preserve the records of individuals, and of private and public organisations for use in the present and future teaching and research programs of the University, within applicable collection guidelines and available capacity.
- d. Donations accepted by the University Archives will be on the understanding that ownership and control of the records will be transferred to the University, unless otherwise negotiated.
- e. The University Archives reserves the right to refuse or dispose of records that, upon appraisal by the Archivist, are determined to be of insufficient value to the Archives, or which the Archives is not resourced to acquire and manage. Disposal of archival records will be carried out in compliance with relevant legislation and/or applicable archival standards and guidelines.

Section 2 - Scope

(4) Refer to the [Records Management Policy](#).

Section 3 - Policy Statement

(5) Refer to the [Records Management Policy](#).

Section 4 - Procedures

Collection Development

(6) The University Archivist is responsible for determining and implementing the La Trobe University Archives collection development strategy, within the context of relevant legislation, available space and resources, and the collections of other institutions.

(7) As such the primary focus of collection development will be:

- a. archived University records
- b. other records that support the teaching and research goals of the University
- c. records that are consistent with and complement the University Archives existing collection strengths.

Methods of Acquisition

(8) Material may be acquired through:

- a. Transfer - University records of continuing value will be transferred in accordance with the approved University Archives Transfer Guide.
- b. Donation - Donations may be received from bodies and individuals with a close association to the University but will only be accepted if they are appraised by the University Archivist as meeting the Criteria for Acquisition and in accordance with the approved University Archives Guide.

Criteria for Acquisition

(9) Records of Continuing Administrative Value - University records that are required to be retained in accordance with [Public Records Office of Victoria \(PROV\)](#) standards so as to meet the minimum regulatory and legal requirements.

(10) Records and Artefacts of Historical Value - University records and the records and artefacts of organisations and individuals that are of historical significance to the University. These records and artefacts should not only help to document significant moments in the history of the University and its antecedent institutions, but should also provide some unique insight into University life in general and the varied experiences of the University community.

(11) Records and Artefacts not accepted by the University Archives:

- a. Research data, please refer to the [Research Data Management Policy](#)
- b. Publications that do not form part of the University's master publication set
- c. Duplicate copies of records

(12) Those records and artefacts appraised by the University Archivist as not meeting the Criteria for Acquisition.

Acquisition Format

(13) The University Archives will accept most formats including works on paper, audio and film (tape), digital recordings, photographs and where possible and appropriate, clothing and equipment. The accessioning of individual items, particularly in cases where their format presents storage issues, will be considered by the University Archivist

on their merit.

Copyright

(14) The University Archives requires that the issue of copyright be clarified prior to any acquisition. Transferral of copyright interest to the University Archives, or a licence to use, must be made in writing.

Access

(15) Records and Archives Services (RAS) is committed to making the records and artefacts of the University Archives available to La Trobe University staff and to members of the public.

(16) To ensure their ongoing preservation, safekeeping and integrity, the records and artefacts of the University Archives must only be accessed in accordance with the University Archives Guide.

Promotion and Education

(17) The University Archives will produce finding aids and other material concerning the University Archives and its collections, and make this information available to clients in appropriate print and/or digital formats.

(18) The University Archives will promote an awareness of the need to preserve archival records suitable for use in the teaching and research programs of the University and those archival records which reflect the development and history of the University.

(19) The University Archives will promote academic and research use of the University Archives.

(20) The University Archives will provide research instruction in locating and using archival material.

Section 5 - Definitions

(21) For the purpose of this Procedure:

- a. Artefact: An object or piece of equipment manufactured for a practical purpose.
- b. Access (AS ISO 15489.1-2002, s3.1): Right, opportunity, means of finding, using, or retrieving information.
- c. Archive (AS 4390.1 -1996, s. 4.4): The whole body of records of continuing value of an organisation or individual. Sometimes called 'Corporate Memory'
- d. Disposal (PROV Master Glossary): A range of processes associated with implementing appraisal decisions which are documented in disposal authorities or other instruments. These include the retention, destruction or deletion of records in or from recordkeeping systems. They may also include the migration or transmission of records between recordkeeping systems, the transfer of ownership or the transfer of custody of records, e.g. to Public Record Office Victoria
- e. Donation (Keeping Archives, 2nd Ed., p. 469): A voluntary deposit of records, involving the transfer of legal ownership as well as custody to the archives.
- f. Preservation (AS ISO 15489.1-2002, s3.14): The processes and operations involved in ensuring the technical and intellectual survival of authentic records through time. Preservation encompasses environmental control, security, creation, storage, handling, and disaster planning for records in all formats, including digital records.
- g. Transfer (AS ISO 15489.1-2002, s.3.20 - 3.21): (custody) change of custody, ownership, and/or responsibility for records. (movement) moving records from one location to another.

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Responsible Policy Officer	Natalie MacDonald Vice-President (Strategy and Development) +61 3 9479 1862
Author	Lauren Thompson Manager, Records and Archives +61 3 9479 2056
Enquiries Contact	Records and Archives Services +61 3 9479 1990