



Australian Public Service Commission

Record Keeping Business Rules for APSC staff

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1 INTRODUCTION

- 1.1 The following business rules apply to the creation/capture and management of business and administration records in any format i.e. digital and physical records.

2 COMMISSION RECORDKEEPING

- 2.1 The Commission's primary recordkeeping system is Sharehub. This software application manages all electronic records.

Prior to 2018, the Commission used TRIM to capture and manage all paper based files and digital records. From 2018 onwards the Commission transferred to a Web based record keeping system know is Sharehub.

Records to be stored in Sharehub are generally classified as 'Official'. Sharehub is rated for 'Protected' level documents, though can hold unclassified records up to Protected level as per the Commission's Recordkeeping Management Instruction for Official Systems.

- 2.2 Enabling and Digital Services Group is responsible for managing and administering Sharehub as well as all Commission paper based and historical records and files located offsite at either National Australian Archives ('retained for national significance' records); ZircoData or Iron Mountain. TRIM is still used to manage paper based records.

- 2.3 Sharehub is security classified up to Protected (DLM) level. Records in electronic format that are classified above the 'Protected' (DLM) security level must **not** be captured or created in Sharehub.

- 2.4 Sharehub manages the following processes:

- The creation and capture of official records
- Editing of documents by multiple users
- The storage and retention of records in accordance with approved disposal authorities
- The protection of record integrity and authenticity;
- The security of records
- Access to and sharing of records.

- 2.6 All official records of the APSC which capture the decision making methodology are to be created/captured and managed in Sharehub unless they are managed in a system that is listed in the Management Instruction for Official Systems, such as PDMS.

- 2.7 The majority of the Commission's records can and should be created/captured and managed in electronic format in Sharehub.

2.8 Sharehub is the authoritative source of information pertaining to corporate records and is the Approved Record Keeping System for the Commission, as approved by National Australian Archives (NAA).

Documents stored in Outlook, Desktops and Network Drives are not NAA approved record keeping systems, as they do not capture metadata or provide any record integrity or audit control of records, and do not contain any provide disposal authorites and destruction schedules for paper records.

2.9 The Commonwealth owns records produced by the Commission or those which are stored on APSC or PM&C servers. they are not owned by an individual, Team, Section, Group or the Agency.

3.0 **BUSINESS RULES GOVERNING DOCUMENT MANAGEMENT IN SHAREHUB**

[Document Libraries](#)

3.1

Document Library names cannot be edited. They have been created to describe functions or categories of work performed in the APSC, and are based on the most common terms used to describe these functions. A full list of available Document Libraries is available here.

Any information stored in a Document Library will be managed as a record in accordance with the Department's Records Management Policy.

All Document Libraries use a common three level folder structure to store information, comprising APSC Folders (folders that are used to categorise information) and two levels of sub-folders.

Documents cannot be saved directly into a Document Library. They can only be saved into ShareHub within a APSC Folder or a sub-folder.

[ShareHub Folder Structure](#)

ShareHub has a limit of three folder levels underneath each Document Library (APSC Folder > Sub-Folder > Sub-Folder > Document).

The restriction applies for two reasons:

If there is no limit on the number of folders deep, titling at the top folder level is so broad, it leads to confusion and inconsistencies when trying to locate information, and

Technical limitations on the number of characters each title can contain are

exacerbated by deeper folder structures.

You can create as many folders as you need at each level. That is, you can create as many folders as you wish vertically directly under the Document Library level, and similarly at the APSC Folder and sub-folder level.

[Version Control in ShareHub](#)

All documents in ShareHub are created as a major versions. This means that each time a document is created, it will list in the 'Version History' tab as (1.0, 2.0, 3.0, and 4.0. ShareHub does not use major and minor versions (1.0, 1.1, 1.2, 2.0).

There is a limit of 100 major versions that are retained for a document in ShareHub. If a new version is added beyond the 100 limit, this will cause the first version to be deleted. Only versions 2.0 to 101 will remain.

[Deleting Information in ShareHub](#)

Deleting Folders

Users can delete folders in ShareHub providing that they are deleted in accordance with the Department's [Normal Administrative Practice \(NAP\) policy](#).

Once a folder is deleted from ShareHub, the Records and Information Management (RIM) Team will review the deletion request

Users are unable to delete folders through the 'Windows Explorer' view

Deleting Documents

Users can delete documents in ShareHub providing that they are deleted in accordance with the Department's [Normal Administrative Practice \(NAP\) policy](#).

When a document is deleted from ShareHub, the user will be required to justify why they are deleting this document in accordance with the NAP Policy.

The user who deleted the document can restore the document from the team recycle bin.

Users are unable to delete documents through the 'Windows Explorer' view

Deleting Team Discussions Threads

Team discussion threads can only be deleted by the user who posted the discussion. Once the discussion thread has been deleted, it is permanently deleted and unable to be restored.

Deleting 'Discuss' Comments

Any 'Discuss' comments can be made on a folder and document. The user who created the comment is the only person who can delete the comment.

Deleting Calendar Items

Team calendar events can only be deleted by the user who posted the discussion. The user who deleted the event can restore the item from the team recycle bin.

Deleting Team Links

Team links can be deleted by any user with contribute access the Team Site. The user who deleted the link can restore the item from the team recycle bin.

[Activity Log](#)

The activity log is only available on documents

The activity log displays the following events:

- A document is opened and viewed
- A document is updated
- A document is shared.

3 BUSINESS AND ADMINISTRATIVE RECORDS

- 3.1 A record is all information created, sent and received in the course of carrying out Commission business. Records have many formats, including paper and electronic. Records provide evidence of how a decision was reached. Not all records are of equal importance or need to be kept. (Adapted from: *Archives Act 1983*, Part I, Section 3; Standards Australia, AS-ISO 15489, Part 1, Clause 3.15).
- 3.2 Records include, but are not limited to those created using all digital or paperbased office applications, such as word-processed documents, spreadsheets, presentations, desktop published documents, emails, photographs, voice mails, voice transcripts and film clips.
- 3.3 Business and administrative records that are useful or important should not be permanently stored on network drives, or G Drives, or Desktops or in Outlook/email accounts.
- 3.4 The following records may be temporarily stored in approved folders on network IFOX or G drives while in development but must be transferred to Sharehub once finalised:

- Access databases may be maintained and updated on the approved IFOX folder. Once documents relating to access databases are finalised, these documents are to be stored in Sharehub.
- Statistical datasets may be maintained and updated on approved IFOX folders – final documents are to be stored in Sharehub.

3.5 All Commission records should be:

- Compliant with recordkeeping requirements arising from the National Australian Archives (NAA) and the regulated and accountable environment of the Commission;
- Adequate for the purpose for which they are kept;
- Complete in content and contain the structural and contextual information necessary to document a transaction;
- Meaningful and relevant with the business context in which the record was created and used;
- Comprehensive in documenting the complete range of business for which evidence is required by the organisation;
- Accurate in reflecting the transactions they document;
- Authentic in providing evidence of the official business and decision making records of the APSC.

3.6 Sharehub Record Identification Numbers (ID) are system generated (by Sharehub) with the numbering pattern recommencing each year (from 1 January). Sharehub generates an SHC21-XXXX for Containers and SHD21-XXXXX for Documents.

3.7 A Sharehub container (file SHC) is a collection of records of lasting value which, presented together, demonstrates the history of a particular aspect of the Commission's activities in a way that facilitates current administrative reference and later archival retrieval, and preserves them from being destroyed, lost or damaged.

3.8 The Commission uses various Business Classification Schemes and the Administrative Functions described in the Administrative Functions Disposal Authority (AFDA), as a description of the organisation functions, activities and transactions and applies these functions to containers (files) as a tool to assist with classification, consistent and reliable titling, searching and retrieval, sentencing and the disposal of physical records.

3.9 The structured function and activity components of a file or container title is the primary means of identifying the broad functions and activities of the record.

3.10 The free text title component of a container (file) or a document is the primary means of identifying the subject and should be titled in accordance with the Commission's Sharehub Titling Conventions Guide - <https://apsc->

- 3.11 Normal Administrative Practice (NAP) may be applied to certain categories of records that are defined within the Commission's Recordkeeping Guidelines on Handling Records of Low Value and authorises the disposal low value and ephemeral records.
- 3.12 Where a record has been created/captured in HPRM in error the officer responsible for creating that record should record the reason for the error by updating the notes section of the record, then request that record to be destroyed using the Sharehub modify/delete function. The Records and Information Team will assess all such requests and may liaise with the officer initiating the request or their manager. If no notes are attached on the record requesting deletion, the record will be reinstated and an email sent to the user asking for the notes to be applied.
- 3.13 Where a record has been created/captured in HPRM that is determined by the officer responsible for creating that record to be of low value i.e. the record is not useful or important, it and can be legally destroyed using normal administrative practice (NAP).
- 3.14 Where an email is of a personal nature (i.e. the communications or attachments do not related to Commission business) it should not be captured in HPRM.
- 3.15 The need to know principle applies to accessing all corporate records and information, i.e. the availability of official information should be limited to those employees who need to use or access the information to do their work.
- 3.16 Sharehub Collaboration Groups may be established by functional teams, projects and virtual teams to collaborate on and access common records for as long as they are needed.. The Collaboration trays can be managed by multiple administrators selected by the team, group. The administrators are able set up Groups, add new staff members and delete staff that no longer require access. Please refer to [D15/58948](#) to access help card for establishing Collaboration Groups.

4 RECORD TYPES

- 4.1 The Commission uses the following record types in Sharehub:
 - Document (SHD)
 - Container (SHC) (file).

5 VERSION HISTORY

- 5.1 Sharehub records are assigned a unique record number. SHC represents a Container and SHD represents a Document.
- 5.2 A record may consist of multiple versions which comprise a record. Generally historical versions of a record are available for viewing or restoring in Sharehub through the Version History Tab, accessible by 'More Options' in the
- 5.3 Additional parts to a file may be created when the physical component of the file reaches 150 pages or approximately 40 mm in thickness in accordance with National Archives of Australia standards, or the contents of the digital component of a file reaches *300 documents* to maintain manageability.
- 5.4 No further components can be added to a closed file.

6 INFORMATION SECURITY

- 6.1 The Commission's information technology network is not rated to store or transmit information above the Unclassified (DLM) level and as a result, records (documents and containers (files)) that are created or captured in HPRM can only be classified up to the Unclassified (DLM) level only, i.e. only information that is classified at the 'Unclassified' (DLM) level may be created or captured in HPRM using Sharehub .
- 6.2 The need-to-know principle applies to accessing all corporate records and information, i.e. the availability of official information should be limited to those employees who need to use or access the information to do their work e.g. to authorise a document to be finalised.
- 6.3 Staff are responsible for assessing the security requirements for the information they handle and applying the appropriate security levels to the container (files) and documents that are stored in Sharehub .
- 6.4 Australian Privacy Principles (APP) should be considered when creating a container that contains sensitive or personal information. Please refer to Summary of the APP's at link [D16/6196](#) for further information.

7 ACCESS CONTROLS AND DISSEMINATION LIMITED MARKERS (DLMS)

- 7.1 Sharehub is promoted as an 'open' and accessible system, relying on the principle that staff access records on a need to know basis. Sharehub does have access controls to restrict access to records using Access Controls. Staff are responsible for applying access controls and DLMS to emails in outlook prior to capturing in Sharehub.

- 7.2 An Access Control is a form of 'need-to-know' security that individual users can apply to any document or container (file) created or captured in Sharehub, where there is a need to target or restricts access to records to only those staff involved or authorised to view and/or edit those records.
- 7.3 For the majority of documents and container (files) in Sharehub there is no need to place restrictions upon these records, however if a need arises due to sensitivity of the records, this decision should be based on sound business reasons rather than personal preferences.
- 7.4 Access Controls for view and update access have been applied to the following record types listed below which restricts Access Controls for information as follows:
- MPC Container (files) are restricted to members of the The Office of the Merit Protection Commissioner;
 - WR Container (files) are restricted to members of the Workplace Relations Group;
 - HR Container (files) are restricted to members of the Corporate HR Group and will have the DLM of Sensitive - Personal applied to the records; The HR file is no longer relevant since transitioning the Commission's payroll to Shared Services Centre (SSC) in July 2014.
 - DFRT Container (files) are restricted to the Defence Force Remuneration Tribunal;
 - Remuneration Tribunal Containers / Documents are restricted to Remuneration Tribunal
 - APSC Parliamentary Services Container (files) are restricted to specified roles within the Employment Policy Group; and,
 - MPC Parliamentary Services Container (files) are restricted to specified roles within the Office of the Merit Protection Commissioner.
 - Legal Services Team Sharehub site has been restricted to members of the Legal team.
- 7.5 The Commission uses DLMs which are applied to records.

8 CONTAINER (FILES)

- 8.1 Documents must be enclosed within a container (file) following document capture or creation in Sharehub therefore, a container (file) should be created in Sharehub when a record (e.g. a document) needs to be created or captured and:
- An existing container (file) with the appropriate function, activity and subject does not exist; or,

- An existing container (file) does exist but has it been closed.
- 8.2 A container (file) must be titled using approved terms (functions and activities) from the Commission's Business Classification Scheme or Administrative Functions Disposal Authority.
- 8.3 HPRM container (file) parts will be assigned a unique record number on creation
- 8.4 A HPRM container (file) may consist of multiple parts that comprise a record.
- 8.5 Additional containers (parts) to a file may be created when the paper component of the container (file) reaches *150 pages* or approximately *4 Omm in thickness* in accordance with National Archives of Australia standards; or, the contents of the digital component of a container (file) reaches *300 documents*. This assists the Commission to maintain manageability of paper containers (files).
- 8.6 Containers (Files) will automatically be numbered to correspond with the year of creation.

9 DOCUMENTS

- 9.1 An electronic document may be filed into more than one container (file) e.g. where the document is useful or important to more than one function and activity. An electronic document can be related to another electronic document. These processes support staff to keep records that are:
- Compliant with recordkeeping requirements arising from the regulated and accountable environment of the Commission;
 - Adequate for the purpose for which they are kept;
 - Complete in content and contain the structural and contextual information necessary to document a transaction;
 - Meaningful with regards to information and / or linkages that ensure that business context in which the record was created and used is apparent;
 - Comprehensive in documenting the complete range of business for which evidence is required by the organisation;
 - Accurate in reflecting the transactions they document;
 - Authentic in providing proof that they are what they purport to be and that their purported creators did indeed create them; and,
 - Inviolable through being securely maintained to prevent unauthorised access, alteration or removal.
- 9.2 A record should be finalised in HPRM according to the protocols established within each business line and in reference to the points noted in 11.1 above.

- 9.3 Electronic documents can be revised and updated by the Sharehub user provided the record has not been finalised.
- 9.4 Only Sharehub Administrators or Records and Information Management Team may permanently delete records.
- 9.5 Where a Sharehub user assesses a record for destruction on the basis of Normal Administrative Practice, i.e. the record represents a record of low value, they should update the notes section of the record with a brief explanation, and use the Sharehub Action Menu option to: Edit/Modify the selected record. Whilst the record will be deleted from search and view actions in Sharehub the request will be subject to a review process by the HP Administrators or Records and Information Management Team and liaison with the requestor and or the line manager (if required).
- 9.6 An electronic document may be copied and filed into a new container (file) for the purposes of reusing the information to create a new record. It is the responsibility of the Sharehub user implementing this process to ensure that only relevant information is retained in the new electronic document created and is undertaken in reference to the points noted in 11.1 above.
- 9.7 Where a paper record requires filing to a container (file) record, the Sharehub user must create a new document record on each occasion. An existing container (file) may be used if the file is open or a new container (file) may be created for this purpose. Whilst the creation of a document record type metadata in Sharehub enables information to be captured about the physical document, the record creator must be responsible for requesting the paper file to be created and attaching the document record to the physical paper HPRM file.

10 MANAGING EMAIL RECORDS

- 10.1 Emails that are evidence of Commission business activity (or transactions) are Commonwealth records and must be managed and kept for as long as needed for government and community requirements.
- 10.2 Emails of a personal nature to staff that are either sent or received as a result of personal use of the Commission's email system should not be captured in Sharehub.
- 10.3 Where an email is evidence of Commission business activity it should be captured in Sharehub
- by the sender;
 - by the recipient where the recipient is required to action the email, and
 - as soon as possible to enable the record to be available for staff who may need access to it.

- 10.4 Where emails and associated attachments are received and are for information purposes only, it should be captured in Sharehub *only* by the email message sender (Commission employee) for records which are official use.
- 10.5 It will be necessary to re-title an email document that is captured in Sharehub to ensure the title is meaningful and able to be located.

11 MANAGING AND STORING PHYSICAL FILES

- 11.1 Generally physical files are no longer created for the Commission due to digital records being created and stored in Sharehub. However if a physical legacy file is required to be returned to or sent to Storage, the file is to be returned to the Records Management Unit. The notes field of the record should be updated in TRIM by the officer returning the file. The holder of the file should update the record to show the file has been returned to the Records Management Unit.
- 11.2 The file cover should be updated (where it is sufficiently intact to do so) to note the return of the file to the Records Management Unit. The physical components of files must be secured in accordance with the Standard for the Physical Storage of Commonwealth Records and, in the case of files with a security classification, also in accordance with the Commission's Security Guidelines.
- 11.3 The individual, to whom a physical file is assigned, is responsible for the storage of that file at all times i.e. when it is not under the control of the Records Management Unit.
- 11.8 When a paper file is no longer required for current use it should be returned to the Records and Information Management Team for return to Packaway or storage offsite, and the TRIM location updated to reflect the new location and the file provided with a new Box Barcode label, provided by the Property Team.

12 REQUESTING AND TRANSFERRING LEGACY PHYSICAL FILES

- 12.1 It is the responsibility of each individual to search TRIM and identify the relevant records for any legacy physical files to be retrieved and apply the need to know principle to the records to which they access.
- 12.2 Where a physical file is required and the location is not under the control of the Records Manager, it is the responsibility of the officer requiring the file to contact the file assignee and arrange for the handover of the file to them. A file request should not be placed on the record.

13 DISPOSAL AND DESTRUCTION OF RECORDS

- 13.1 Records, either physical or digital, are only to be disposed of only in accordance with an official disposal authority, or through the application of Normal Administrative Practice.
- 13.2 The unauthorised removal (disposal) or destruction of records is a criminal offence.
- 13.3 The Commission will use only authorised records authorities to dispose and destroy Corporate records.
- 13.4 Records that are created or captured in Sharehub will be assigned a retention schedule on creation (or capture) of the record.
- 13.5 The Records and Information Manager will be responsible for the administration of sentencing, disposal and destruction processes for Corporate records.
- 13.6 The Records and Information Manager will be responsible for annotating records that are subject to a disposal freeze by the National Archives of Australia.