Recordkeeping Standard

1. Background

All staff and contractors of the University are required to make and keep full and accurate records of their activities, as detailed in the University’s Recordkeeping Policy.

This standard provides more detailed instruction on how to meet these requirements, and links to related University procedures and guidelines.
1.1. University Records

A University record is any document, regardless of format, created or received by University staff in the course of their official duties and kept as evidence of the transaction of business activities.

Records provide evidence of what was said and done, where, when, and by whom in the conduct of University work.

Records have a lifecycle that begins with the action which informed their creation, continues with their capture to an official business system and subsequent management over time until they become inactive, and continues through to the process of disposition where they may be destroyed if no longer required or receive new meaning as they are arranged with other records as archives of the University and/or State of NSW and retained permanently.

1.2. UNSW Electronic Document and Management System (EDRMS)

The University currently uses RAMS (Records & Archives Management System) as its EDRMS. It is accessible to all staff of the University for the conduct of official University business and specifically designed to ensure the compliant and accurate capture and management of records.

The use of an EDRMS enables:
- automated management of the records lifecycle from capture to disposition
- classification of records by business activity
- secure records capture to safe, compliant storage
- aggregation of information for reporting purposes
- consistent, findable, useable, information across the enterprise
- information sharing and knowledge exchange
- integration with other business systems to provide a ‘single-source of truth’.

Further information on access to, and the use of, RAMS can be located on the Records & Archives website.

2. Requirements

2.1. UNSW Recordkeeping Induction

All new staff of the University must complete the Introduction to Recordkeeping at UNSW. This is an online module that details the requirements for recordkeeping at the University.
The module allows the University to ensure all staff are aware of the University’s commitment to best practice recordkeeping and provides staff with access to all necessary resources to achieve this. To locate the module, please refer to the UNSW Records & Archives website.

2.2. Classification

Records must be classified according to the business function and activity which they document. Classification directly links records to the business process they support. This enables the aggregation of related records across the organisation increasing their value, and allows decisions to be made on their retention, security and associated requirements.

Classification of records in RAMS is applied to the container of records (e.g.; the ‘file’ or ‘folder’ into which a record is captured), not to individual records. By capturing a record to an appropriate container to which classification has already been applied, everyday recordkeeping activities can be simplified and potentially automated, and the record gains valuable context from its container.

Further details on classification can be found in the Record Titling Guideline.

2.3. Document Titling

Records and, wherever possible, all University information, should be titled correctly to reduce duplication and to improve efficiency in ensuring the right information is available to the right people at the right time.

Correctly titled records ensure the timely retrieval of information when required and provide an additional safeguard against the loss of unique and valuable information.

The Record Titling Guideline provides detailed guidance on how to correctly title University records and information.

2.4. Record Capture and Format

The capture of a record as near as possible to the point of its creation and in its original format saves resources, increases evidentiary value and aligns recordkeeping to better business outcomes.

In contrast, a record captured at the end, not start, of its lifecycle represents an additional step requiring additional resources with reduced added value to business process.

Recordkeeping should be an inherent, integrated part of everyday business.

A record that is ‘born digital’ must be captured in its original digital format, unless a compelling reason exists not to.

2.5. Business Systems

A record must be created and captured to an appropriate, compliant business system. Compliant business systems have controls in place to ensure the requirements of a record are met, such as their evidentiary fixed nature, retrievability, security controls, and disposal management. Email systems, including Microsoft Outlook and Network Drives and cloud-based storage, do not meet the basic requirements for the capture and storage of University records are not suitable for the capture and storage of University records. The University maintains an enterprise recordkeeping system, RAMS, for the capture of business records not directly captured by alternative business systems. A free consultation can be arranged with Records & Archives staff to advise on unit recordkeeping processes, including appropriate business systems. To book your consultation, or to access further information on the appropriate capture and management of digital records, please contact Records & Archives, records@unsw.edu.au, or visit the Records & Archives website.
2.6. Security
A record contained in any business systems requires appropriate security controls to:

- ensure the University’s information is secure but still accessible to those who require access for business purposes.
- help to ensure that we meet our commitments to the Information Protection Principles as set out in the Privacy and Personal Information Protection Act 1998 (NSW) (PIIPA) Act, the University’s Privacy Management Plan, Student Privacy Code of Practice, and the Human Resources Privacy Statement.

Please refer to the Record Security Guideline for further information.

2.7. Scanning
Legacy paper records may, where a valid case for doing so is demonstrated, be scanned and captured in digital format. Once complete, and the necessary conditions have been met, the source paper records may be destroyed.

When appraising legacy paper records, attention should always be given to current recordkeeping practices to ensure any historical dependency on paper records is addressed.

Conversion of records only impacts their format, it has no bearing on the minimum legal period for which they must be retained.

Please refer to the Record Appraisal Procedure for further detail.

2.8. Storage
Records must be stored in an appropriate, secure location whether in digital format in a business system, or in physical form.

The University maintains an enterprise recordkeeping system, RAMS, and a number of other key business systems that support compliant recordkeeping practices.

The University has a preferred supplier for the storage of physical records that delivers best in sector value alongside compliant storage conditions, including the ability to retrieve and to destroy records when it is appropriate to do so.

Please refer to the Record Appraisal Procedure for further detail.

2.9. Appraisal
A record must never be destroyed without first undergoing a process of appraisal and the approval of the relevant authority. The destruction of a record must always be correctly documented.

Records are legally required to be kept for a minimum period of time, as defined under the NSW General Disposal and Functional Authorities (GDAs) and the University’s Functional Disposal Authority (FDA). Once these minimum periods have been reached and where no knowledge of probable or current legal action exists, the records may be destroyed.

A record that is short-term in nature, such as a duplicate of an existing record, may be destroyed without further recourse under the terms of Normal Administrative Practice (NAP).

Please refer to the Record Appraisal Procedure for details on how and when records may be destroyed.

2.10. Personal Information
Personal information is defined in the NSW Privacy and Personal Information Protection Act 1998 (PIIPA) Act as, ‘Information or an opinion (including information or an opinion forming part of a database and whether or not in a recorded form) about an individual whose identity is apparent or can reasonably be ascertained from the information or opinion’.
Personal information should always be destroyed when it is no longer required for the business purpose for which it was collected and there is no legal requirement to retain it further. It must be stored securely at all times and disposed of appropriately as required by both the Information Protection Principles of the PPIP Act and the Health Protection Principles of the NSW Health Records and Information Privacy Act 2002 (HRIP) Act.

Please refer to the Record Security Guideline for the requirements for the secure storage of personal information and to the Record Appraisal Procedure for details on how and when records may be destroyed.

### 2.11. Archives

The process of appraisal is especially important for the purpose of identifying records of an enduring nature that may be required to be retained permanently as Archives.

Information on what constitutes a State or a University Archive, and on the process for the donation of Private papers to the University, is described in the Archives Acquisition Guideline.

The University maintains a permanent collection of Archives on-site, stored in specialised conditions to ensure their longevity. Access to these records is available by appointment and the requirements are described in the Archives Access Guideline.

### 2.12. High Risk Register

The University is mandated to keep a Register of records of high value and high-risk processes.

High value process or business system owners are required to comply with additional steps to ensure business continuity in the event of a disaster. The Register is maintained by Records & Archives staff who work directly with relevant process and business system owners to ensure these necessary steps are taken.

#### Accountabilities

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<tr>
<th>Responsible Officer</th>
<th>Manager, Records &amp; Archives</th>
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<td>Contact Officer</td>
<td>Manager, Records &amp; Archives</td>
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#### Supporting Information

This Procedure supports the University’s compliance with the following legislation:

- State Records Act, 1998 (NSW)
- Evidence Act, 1995 (NSW)
- Government Information (Public Access) Act, 2009 (NSW)
- Health Records and Information Privacy Act, 2002 (NSW)
- Privacy and Personal Information Protection Act, 1998 (NSW)
- Children and Young Persons (Care and Protection) Act, 1998 (NSW)
- Public Finance and Audit Act, 1983 (NSW)
- University of New South Wales Act, 1989 (NSW)
- Work Health and Safety Act, 2011

#### Parent Document (Policy)

Recordkeeping Policy
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<table>
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<tr>
<th>Definitions and Acronyms</th>
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<tr>
<td>Archive</td>
<td>A record that the University has committed to retaining permanently for either the maintenance of a permanent record of the activities of the State of NSW (State Archives) and/or as a cultural, historical record of the University (University Archives.)</td>
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<td>Appraisal</td>
<td>The process of assessing records to determine the period of time for which they must be retained prior to destruction or deletion, or preservation in an archive.</td>
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<td>RAMS</td>
<td>Records &amp; Archives Management System, The University’s corporate recordkeeping system, previously known as TRIM.</td>
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<td>10 September 2018</td>
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