



Version	Approved by	Approval date	Effective date	Next full review
1.0	Manager, Records & Archives	13 December 2017	13 December 2017	December 2020
Guideline Statement				
Purpose	This guideline covers access to all records in the custody of the University Archives, including official records, private records and oral history materials.			
Scope	All staff, contractors and consultants engaged in work for the University across all of its sites, including Controlled Entities of UNSW.			
Are Local Documents on this subject permitted?	<input type="checkbox"/> Yes, however local Documents must be consistent with the University-wide Document		<input checked="" type="checkbox"/> No	
Guideline				

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1. Holdings

1.1. Official University Records

The Archives' holdings primarily consist of official University records that are no longer required for day-to-day business and are considered to be of permanent value to the University and the general community. These official University records are State records including State archives as defined by the *State Records Act* (1998). The Act applies to all records of the University.

1.2. Private Records and Oral History Materials

The Archives also maintains private records of former officers, university related organisations and other individuals connected with the university, as well as oral histories and other records originating from the university's oral history program.

More information on the Archives' holdings is available in the **Archives Acquisition Guideline**.

2. UNSW Staff Access

Access to official university records is available for the purposes of UNSW business.

Official files may, in certain circumstances, be made available on loan to staff. This excludes files that are fragile or in need of conservation treatment.

To prevent loss or damage to original material, all other archival records are available for consultation in the Archives Reading Room only.

Access by UNSW staff to official university records for private purposes or to private records and oral history program related materials is treated in the same way as Public Access to records in the Archives, as described in section 3 below.

3. Public Access

Any person may request access to records in the custody of the Archives for the purposes of study or research, including for personal, academic, professional, or commercial reasons. Access will be provided on an equitable basis to all users and is available in the Archives' Reading Room.

Users will be required to complete a **Reader's Registration Form** (*Appendix 1*) before access to records is granted. They must undertake to abide by the conditions set on the form, which includes adhering to the **Reproduction, Citation, and Publication of Archival Records** (*Appendix 2*) and the **Reading Room and Archives' Care and Handling Rules** (*Appendix 3*).

The University Archivist may restrict access to original records which are too fragile or damaged to be handled. In this instance, copies of the records will instead be made available to the user.

3.1. Official University Records At Least Thirty Years Old

Official university records are State records. Access to them is governed by the *State Records Act* (1998). The Act establishes a general entitlement to access to State records that are in the 'open access period', that is records that are at least 30 years old. There is a presumption that records in the 'open access period' should be open to the public.

Although a record is 30 years old or older, this does not necessarily mean it is available for public access. Some records contain sensitive information and may need to be closed for a longer period. Such records have had a 'Closed to Public Access' (CPA) direction made by UNSW in accordance with the *State Records Act* (1998).

UNSW's current CPA directions are available on both the [Records & Archives](#) and the [State Archives & Records Authority NSW](#) websites.

UNSW may, from time to time, review or revoke its access directions, but would do so only in line with the [Attorney General's Guidelines to Making Access Directions](#).

3.2. Official University Records Less Than 30 Years Old

Access to State records less than 30 years old is only available under the *State Records Act* (1998) if UNSW has completed an 'Early Access Notification' in accordance with the Act. Access may be granted other than under the Act with the approval of the head of the originating unit or department, or of its successor. If access is granted there may be conditions attached.

3.3. Private Records and Oral History Materials

Access to private records and records originating from the oral history program is determined by the individual donor/interviewee.

Whilst many of the records are open for access immediately, some have access conditions imposed, which need be adhered to by the Archives and its users. This includes ensuring compliance with the *Privacy and Personal Information Protection Act 1998* (NSW).

3.4. Access Appeals

Users who believe that access to records has been unreasonably denied should contact the Manager, Records & Archives.

Accountabilities	
Responsible Officer	Manager, Records & Archives
Contact Officer	University Archivist, Records & Archives
Supporting Information	
Legislative Compliance	<p>This Procedure supports the University's compliance with the following legislation:</p> <p><i>State Records Act, 1998</i> (NSW)</p> <p><i>Evidence Act, 1995</i> (NSW)</p> <p><i>Government Information (Public Access) Act, 2009</i> (NSW)</p> <p><i>Health Records and Information Privacy Act, 2002</i> (NSW)</p> <p><i>Privacy and Personal Information Protection Act, 1998</i> (NSW)</p> <p><i>Children and Young Persons (Care And Protection) Act, 1998</i> (NSW)</p> <p><i>Public Finance and Audit Act, 1983</i> (NSW)</p> <p><i>University of New South Wales Act, 1989</i> (NSW)</p> <p><i>Work Health and Safety Act, 2011</i></p>
Parent Document (Policy and Procedure)	<p>Recordkeeping Policy</p> <p>Recordkeeping Standard</p>
Supporting Documents	<p>Record Appraisal Procedure</p> <p>Record Security Guideline</p> <p>Record Titling Guideline</p> <p>Archives Access Guideline</p> <p>Archives Acquisition Guideline</p>
Related Documents	<p>Data Governance Policy</p> <p>Email Policy</p> <p>IT Security Policy</p> <p>Procurement Policy</p>
Superseded Documents	Guidelines for Access to Records held In the UNSW Archives
File Number	2017/25742
Definitions and Acronyms	
Archive	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.)
Appraisal	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.
Record	Any recorded information made or received by a staff member of the university in the course of undertaking their duties. Records are evidence or information about university activities. They can be any format.

RAMS	Records & Archives Management System. The University's corporate recordkeeping system, previously known as TRIM.			
Revision History				
Version	Approved by	Approval date	Effective date	Sections modified
1.0	Manager, Records & Archives	13 December 2017	13 December 2017	All

Appendix 1: Reader's Registration form

Conditions of Access:

1. That any access to records held in the University Archives is subject to a reader's registration.
2. That registration is subject to the reader having read and agreed to the *Reading Room Rules and Procedures*, and *Guidelines on the care and handling of archives*.
3. That all research on records held in the UNSW University Archives be carried out under the direct control and supervision of the staff in the University Archives.
4. That no reprographic or photographic copies of records be made without specific permission being given; the reader must complete an *Application for Reproduction of Archival Documents* to seek permission to make a copy and to use the copy.
5. That any publication or reference in a publication or paper to records held in the University Archives conforms to the Archives' prescribed citation methods.

I have read the conditions set out above and I agree to observe them in full in consideration of UNSW agreeing to grant me access to records held in the University Archives. I undertake to comply in all respects with the said conditions and I hereby agree to hold UNSW harmless and to indemnify it against all actions, claims, demands or liability of whatsoever kind resulting from the granting of access by it herein.

I have been given access to the University Archives' *Privacy Protection Policy*, and I undertake to respect and protect the privacy of people whose personal information may be disclosed to me through access to records held in the University Archives. More specifically, I undertake:

- a. not to disclose any sensitive personal information released under the terms of this policy without the written consent of the individual(s) to whom it relates, or their legal representative if they are legally incapacitated or have been deceased less than 30 years,
- b. not to disclose any identifiable non-sensitive personal information otherwise than in accordance with the stated purpose of my access and intended uses of the personal information,
- c. to take full responsibility for the safeguarding of the personal information obtained under the terms of this application, and
- d. not to hold liable the University of New South Wales for any pain or suffering that may be caused by the disclosure of information under the terms of this application, and to indemnify it against all actions, claims, demands or liability of whatsoever kind resulting from the granting of access by it herein.

Applicant Name:
Address / Faculty / Division:
Telephone: Email:
Usual Occupation: ID No:
Purpose of Study:
Signature: Date:
Archivist:

Privacy statement: *All personal information contained herein is collected for statistical and verification purposes, and to enable the University Archives to notify researchers about changes to our services. No personal information supplied on this form will be given to any other party without your permission.*

Appendix 2: Reproduction, Citation, and Publication of Archival Records

Reproduction of all archival records

Researchers are encouraged to use records on site as the University Archives does not recommend copying documents for preservation reasons. Researchers may request copies of records held in the University Archives; reproduction charges apply and must be paid for by researchers. Any copying is subject to approval by the University Archivist; factors which may affect such approval include the prevention of damage to records, the purpose of the request, ensuring compliance with copyright law and access restrictions, and the availability of resources.

Researchers who require copies must complete the form [Application for Reproduction of Archival Records](#) which includes a copyright declaration for the purpose of ensuring that the Researcher's copy is used only in a manner consistent with the approval; this approval does not constitute approval to make another copy of the copy supplied by the University to the researcher.

Use of copies for private research and study purposes only

Where the Researcher applies for a copy to be used solely for the purpose of private research and study, the University Archives may approve the application for reproduction.

Use of copies for other purposes

Where the Researcher applies for a copy to be used for purposes other than private research and study, such as publication or communication, the University and the Researcher share responsibility in ensuring that the use of copies issued by the University Archives does not infringe any copyright in the original records or copies, whether published or unpublished.

Records which are not protected by copyright may be copied without further consideration of copyright implications.

Where the University owns copyright in the record to be reproduced, the University Archives may grant a non-exclusive licence to the Researcher authorising them to use the copy of the copyright protected record solely in the stated manner; the granting of the licence ensures that the University retains such copyright as it may have in the original records and copies.

Where the University Archivist believes that the copyright in the record to be reproduced may be vested in another, the University Archives cannot authorise the proposed use and therefore cannot authorise copying for that purpose unless it is satisfied that the Researcher has obtained the copyright owner's permission to publish or communicate the document.

For further information on copyright at UNSW please visit <http://www.copyright.unsw.edu.au/>

Citation and publication requirements

A Researcher who has been granted access to records held in the University Archives undertakes to comply with the Archives' citation and publication requirements.

The citation methods (examples below of abbreviated and expanded form) apply when the Researcher is making reference to a record in a paper (book, article, essay, thesis, conference paper etc...) or is publishing, communicating or displaying a reproduction of a record held in the University Archives.

Example of abbreviated citation method

"UNSW Archives: 123-456-789" where 123 is the agency number, 456 is the series number and 789 is the item number.

Example of expanded citation method

“University of New South Wales Archives: Faculty of Science; Series 456 - Faculty Handbooks 1952-2002; 1975 volume.”

When a Researcher obtains the written permission of the University Archives to publish, communicate or display a reproduction of a record held in the University Archives, they undertake to acknowledge the University Archives as the source of the record as follows: *“Courtesy of UNSW Archives.”*

Copying Services for records held in the University Archives

Where permission to reproduce archival records has been granted, the following copying services are available from the Archives.

User Copying

Scanning undertaken by the user at the Archives is free of charge.

Copying Requests

Material already in digital form may be sent to researchers free of charge. For non-digitised items, the Archives will send up to 3 images/pages free of charge; for more than 3 images/pages an hourly scanning charge will apply, with a minimum charge of one hour.

The Archives retains the right to charge \$60 per hour for any copying and will notify in advance that the request will attract this charge.

Other reproduction services

Requests for other reproduction services, such as copying of larger items and audio-visual material, should be discussed with staff. These facilities may not be available within the Archives, but in such cases it may be possible to have copying carried out by an external supplier with costs charged to the researcher.

Appendix 3: Reading Room and Archives' Care and Handling rules

Archives Reading Room Rules

All users must ensure that they:

- Leave all bags in designated lockers
- Do not eat or drink in the reading room
- Please switch your mobile phone off or place it on silent mode. When other users are present, please exit the Reading Room if you need to answer it or make a call.
- Use pencils for writing or note taking, except when completing designated forms
- Do not remove records from the designated area
- Do not transfer records to another researcher
- Keep all noise to a minimum while working in the reading room
- Do not enter "Staff Only" areas

Archives' Care & Handling Rules

All users are required to:

- Handle all original items with care at all times
- Not remove documents from bundles
- Not disturb the order of records in which they were issued
- Wear gloves when requested by reading room staff, especially when handling
 - Photographic material (print and other)
 - Maps and plans
 - Pre-1920 material
- Ensure that hands are clean, dry and free from lotions that may stain and add to the deterioration of the records; staff may request that you wash and dry your hands thoroughly before handling the records
- Not place objects on the records
- Not mark any record (do not trace, highlight or underline archival material)
- Turn folios carefully one at a time, ideally from the top right hand corner
- Ensure that volumes are fully supported at all times; ask staff for assistance if necessary
- Do not lean on archival records when writing
- Do not use items such as "post-it" notes, cardboard, pens, pencils or memo pads to mark places in archival records; ask staff for paper flags
- Report any concern to staff
- Report any damage such as loose or torn folios, so that they can be referred for preservation treatment