



Version	Approved by	Approval date	Effective date	Next review
2.0	President and Vice-Chancellor	22 November 2017	22 November 2017	November 2020
<b>Policy Statement</b>				
<b>Purpose</b>	<p>The University's records are its corporate memory, provide evidence of actions and decisions and represent a vital asset to support its daily functions and operations.</p> <p>This Policy specifies the principles, roles and responsibilities that govern recordkeeping at UNSW and provides strategic direction for the Recordkeeping Framework of the University.</p>			
<b>Scope</b>	<p>All staff, contractors and consultants engaged in work for the University across all of its sites, including Controlled Entities of UNSW.</p>			
<b>Policy Provisions</b>				

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## 1. Background

The University's records protect the interests of UNSW, the rights of staff, graduates, students and citizens, help UNSW to deliver its services in consistent and equitable ways, and form the corporate memory of the organisation.

Records and information that are trustworthy, accessible, reusable, and appropriately governed supports improved decision-making, collaboration, transparency and outcomes across the University.

The University is committed to compliance with the [State Records Act 1998](#) (NSW) and [NSW Standard on Records Management](#), and to delivering better business outcomes through the best practice management of these core assets.

UNSW takes responsibility for its records and information management to support business and to identify and manage appropriately, the records and information required to meet both long and short term needs.

The Framework is underpinned by a set of Recordkeeping principles (as described in Section 2) and includes a Recordkeeping Program to monitor and review recordkeeping (Appendix 1) and a series of UNSW Legislative instruments, Codes of Conduct, Policies, Standards, Procedures alongside professional regulations and standards (as described in Section 3.)

## 2. Principles

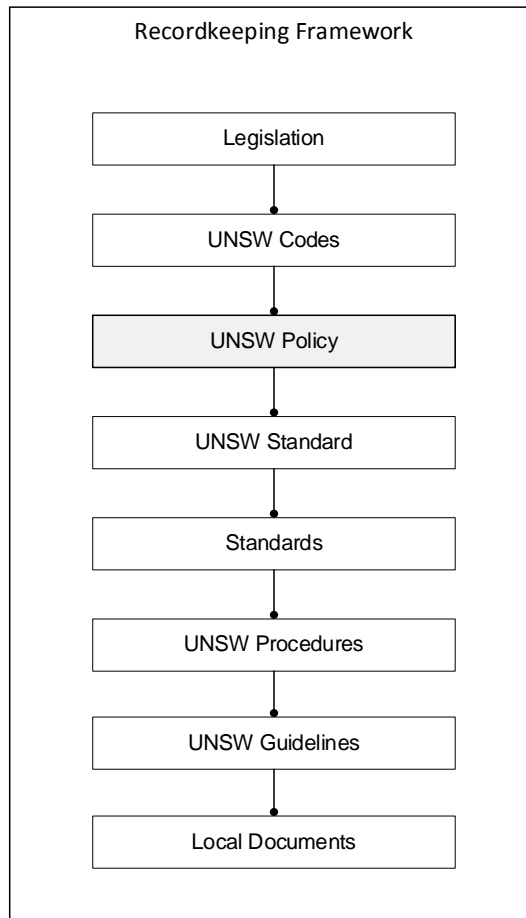
UNSW adopts the following Recordkeeping principles:

- Information in the form of records is:
  - ready for re-use, and remains accessible for as long as needed.
  - discoverable across our organisation by those with legitimate need.

- accurate, up-to-date and complete.
- Governance mechanisms ensure that information management practices support good decision making and promote accountability and transparency to deliver good business outcomes.
- Systems protect information from unauthorised access, alteration, deletion or misuse.
- People understand and appreciate the value of information as an asset for the organisation and the State of NSW, and as the intellectual property of the State and cultural heritage of our people.

### 3. Recordkeeping Framework

The UNSW Recordkeeping Framework is described in the following table:



### 4. Governance

The President and Vice-Chancellor has a duty to ensure that the University complies with the requirements of the [State Records Act 1998](#) (NSW) and any regulations with respect to State records for which the University is responsible.

Formal responsibility for the Recordkeeping program will be delegated to an appropriate senior manager who will perform the role of Manager, Records & Archives. The role of the Manager, Records & Archives is to:

- establish records management policies for the organisation as a whole
- establish corporate standards for recordkeeping including UNSW Recordkeeping Standards, Procedures and Guidelines
- measure performance of business units and workgroups against those standards
- provide consulting services to business units

- develop corporate electronic records management strategies
- work with other managers of information resources to develop a coherent information architecture across the organisation, and
- work with other accountability stakeholders, including auditors, Government Information (Public Access) (GIPA) officers and executive management, to ensure that recordkeeping systems support organisational and public accountability.

## 5. Archival records

The State Archives and Records Authority of NSW is entitled to control of records identified as State Archives and no longer in use for official purposes. The Authority takes control by taking records into its possession or custody or by entering into an agreement, understanding or other arrangement for custody of those records. The University has such an understanding with the Authority for the University's archives.

The University Archives provide for the care, management and servicing of State archives and other State records in line with the environmental conditions specified in the [NSW Standard on the Physical Storage of Records](#).

Other records that have been determined to have continuing administrative, fiscal, legal, evidential or historic value to the University will also be retained permanently in the University Archives.

## 6. Responsibilities

### People

- 6.1. Deans/Heads of Schools/Department managers retain responsibility for ensuring appropriate systems and processes are in place for the capture, storage and disposal of records within their areas of responsibility, and that their Unit managers are aware of their recordkeeping responsibilities.
- 6.2. Unit managers retain responsibility for identifying the records of their Unit's activities, the appropriate capture, storage and disposal of these records, and for ensuring staff within their Unit are aware of their recordkeeping responsibilities and how to meet them.
- 6.3. All staff and contractors or the University have an obligation to make and keep full and accurate records of their activities. The University provides an induction process and ongoing training to ensure all staff are aware of these requirements and how to meet them.
- 6.4. Business system owners retain responsibility for the capture, storage and subsequent migration or disposal of records captured to the system.

### Systems and Processes

- 6.5. Records are never destroyed without first undergoing a process of appraisal and the approval of the relevant authority. The destruction of records must always be correctly documented.
- 6.6. Records and information management requirements are identified and assessed in system acquisition or development, and evidence retained of this assessment.
- 6.7. Records and information management requirements are identified and assessed when entering into cloud, or similar, service arrangements.

<b>Accountabilities</b>	
<b>Responsible Officer</b>	Chief Strategy Officer
<b>Contact Officer</b>	Manager, Records & Archives
<b>Supporting Information</b>	
<b>Legislative Compliance</b>	<p>This Policy 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>
<b>Supporting Documents</b>	<p>Recordkeeping Standard</p> <p>Record Appraisal Procedure</p> <p>Archives Access Guideline</p> <p>Archives Acquisition Guideline</p> <p>Record Security Guideline</p> <p>Record Titling Guideline</p> <p>AS ISO: 15489 Records Management</p> <p>AS ISO: 16175 Principles and Functional Requirements for Records in Electronic Office Environments</p> <p>NSW Standard on Records Management</p> <p>NSW Standard on the Physical Storage of State Records</p>
<b>Related Documents</b>	<p><a href="#">Data Governance Policy</a></p> <p><a href="#">Email Policy</a></p> <p><a href="#">IT Security Policy</a></p> <p><a href="#">Procurement Policy</a></p>
<b>Superseded Documents</b>	<p>Recordkeeping Policy, v1.1</p> <p>Electronic Recordkeeping Policy, v1.1</p>
<b>File Number</b>	2017/25929
<b>Definitions and Acronyms</b>	
<b>GIPA</b>	Government Information (Public Access) Act, 2009 (NSW)
<b>Record</b>	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 in any format.
<b>Appraisal</b>	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.
<b>Archive</b>	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.)

<b>Revision History</b>				
<b>Version</b>	<b>Approved by</b>	<b>Approval date</b>	<b>Effective date</b>	<b>Sections modified</b>
Version 2.0 of this policy supersedes v1.1 of the Electronic Recordkeeping Policy.				
1.0	Vice-Chancellor	1 December 1998	1 December 1998	
1.1	Head, Governance Support	30 November 2009	1 December 2009	Section 4.3, 4.4, and 5
2.0	President and Vice-Chancellor	22 November 2017	22 November 2017	Full review

## Appendix 1: Recordkeeping Program

Records & Archives maintains a recordkeeping program to ensure:

1. Staff are aware of their responsibilities to create, capture and maintain records, how to achieve these responsibilities, and where to access further resources in achieving these aims.
2. A regular program of staff induction, training and other outreach activities is delivered to promote awareness and understanding of recordkeeping responsibilities.
3. Records that support high-risk and high value areas of the University are identified, a register maintained, and records of these areas rigorously maintained.
4. Long term value records, including those requiring permanent retention as NSW State Archives, and other records of enduring value to the University (University Archives), are identified and managed appropriately including, where applicable, their transfer to the custodianship of the University's Archives when no longer required as active business records.
5. Recordkeeping requirements are identified and addressed in the development and or purchase of all University business systems and that special consideration is given to outsourced, cloud or similar service arrangements. This also includes the management of records through system transitions and/or migrations.
6. Information management by design, including system-level automated capture of records, is promoted and implemented wherever beneficial and possible.
7. Records management activities are routinely monitored and reviewed, any shortcomings identified, and corrective action taken as appropriate.