

Records Management Policy

Section 1 - Purpose and Scope

(1) The purpose of this Policy is to ensure that the University is compliant with the [State Records Act 1998 \(NSW\)](#) through the establishment of a Records Management Framework for efficient and effective Records Management at the University.

(2) The Records Management Framework will ensure that:

- a. full and accurate Records are created, captured and maintained for all University business activities;
- b. Records disposal is undertaken in a controlled and compliant manner; and
- c. Records remain authentic, complete, accessible and useable for their duration.

Scope

(3) This Policy applies to all Records created, received or maintained by the University, and its controlled entities.

(4) This Policy applies to:

- a. all staff of the University and its controlled entities, including adjunct, visiting and conjoint academic appointees;
- b. members of the University's Council and other University committees, whether they hold office by election or appointment; and
- c. Third parties when performing official duties for the University.

Section 2 - Definitions

(5) For the purpose of this policy:

- a. Corporate Records Management System means any business system established by the University for the purpose of Records Management that complies with the University's legislative obligations. This includes both electronic document records management systems and hardcopy document records management systems.
- b. Record means any information created, received, or maintained by the University as part of University business and that is recorded in or by any physical or electronic document or process.
- c. Records Management Framework is the framework which ensures Records are authentic, complete, accessible and useable over time. This includes the management structure, people and systems used in the University for Records Management.
- d. Records Management means the making and maintaining of complete, accurate and reliable Records. This includes:
 - i. the creation of Records in the course of a business activity and the means to ensure the creation of adequate Records;
 - ii. the design, establishment and operation of Corporate Records Management Systems; and

- iii. the management of Records, including archiving.
- e. State Records means any Record made and kept, or received and kept, by any person in the course of the exercise of official functions in a public office, or for any purpose of a public office, or for the use of a public office, whether before or after the commencement of this section.
- f. Third Party means any contractor, consultant, volunteer or other organisation or individual engaged by the University to undertake activity on behalf of the University.

Section 3 - Policy Statement

(6) The University is committed to meeting its obligations under the [State Records Act 1998 \(NSW\)](#) and to implementing and maintaining a Records Management Framework that complies with applicable standards and codes of best practice.

(7) The University acknowledges the importance of best practice records management to:

- a. Ensure sound and consistent governance and decision making;
- b. Support accountability, regulatory compliance and management of risk;
- c. Provide a corporate memory and evidence base for the University; and
- d. Promote transparency and accountability.

(8) Records Management at the University will be conducted in accordance with this Policy and the [Records Management Procedure](#).

(9) The University will inform staff of their recordkeeping responsibilities and provide training and support to ensure compliance.

(10) This Policy promotes a systematic approach to Records Management within the University by ensuring that all Records in all formats are able to be managed as part of the Records Management Framework.

Section 4 - Roles and Responsibilities

Responsibilities

(11) The Vice-Chancellor will:

- a. ensure that the University complies with the [State Records Act 1998 \(NSW\)](#) and any associated regulations in regard to its Records Management and any State Records for which they are responsible.

(12) The Vice President (Operations) will:

- a. develop a Records Management Framework which ensures that Records are:
 - i. appropriately identified and, where appropriate, captured for preservation;
 - ii. authentic and complete; and
 - iii. preserved in such a way, and with such additional information (e.g. metadata, in relation to digital Records) that they remain accessible and useable over time;
- b. represent Records Management issues on the Executive;
- c. ensure that the Records Management Framework is appropriately established and resourced to ensure compliance with legislation; and
- d. report to, and liaise with, the State Records Authority on Records Management, as required.

(13) The Corporate Records Unit will:

- a. create and keep up to date the Records Management Policy and associated [Procedures](#);
- b. monitor compliance with the Records Management Policy and [Procedures](#) across the University and make recommendations for improvement or modification of policy and practice;
- c. manage the Corporate Records Management System and be responsible for the conduct of Records Management operations within the Framework;
- d. ensure that all staff are aware of their Records Management responsibilities, including by coordinating Records Management training and providing advice to staff as required;
- e. provide advice to staff in relation to Records stored in local business systems in order to reduce risk of non-compliance; and
- f. maintain appropriate facilities for the storage of physical Records.

(14) Heads of Work Units will:

- a. ensure that Records are created and managed within their work unit in a way that complies with this Policy and any relevant [Procedures](#);
- b. ensure that staff in their unit are informed of the University's Records Management requirements and understand their own Records Management responsibilities;
- c. authorise the final destruction of Records, where appropriate, in liaison with the Corporate Records Unit;
- d. consult with the Corporate Records Unit when introducing new activities and systems to ensure that Records are created, and preserved, as appropriate;
- e. liaise with the Legal Office to determine legislative requirements for Records relating to the activities of their work units.

(15) The Legal Office will:

- a. ensure that contracts with service providers contain relevant clauses relating to third party Records Management responsibilities; and
- b. advise Work Units on legislative compliance requirements that are specific to their area.

(16) All staff of the University and its controlled entities, and Third Parties will:

- a. comply with the Records Management Policy and [Procedures](#);
- b. create full and accurate Records of University business activities they are responsible for, or are involved in, including Records of all decisions and actions made in the course of their official business;
- c. ensure that all Records are saved into the Corporate Records Management System; and
- d. comply with any additional Records Management obligations that apply in relation to a university business activity, e.g. as imposed by activity-specific legislation or their contract of engagement.

Status and Details

Status	Current
Effective Date	16th August 2018
Review Date	16th April 2021
Approval Authority	Vice Chancellor
Approval Date	16th August 2018
Expiry Date	Not Applicable
Responsible Executive	Tyrone Carlin Vice-Chancellor +61 2 66269189
Head of Work Unit	Mark Dixon Director, Governance Services
Enquiries Contact	Governance Services