# Standard

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.

This standard details the requirements of the _____ and specifies the recordkeeping procedures and responsibilities to meet these requirements.

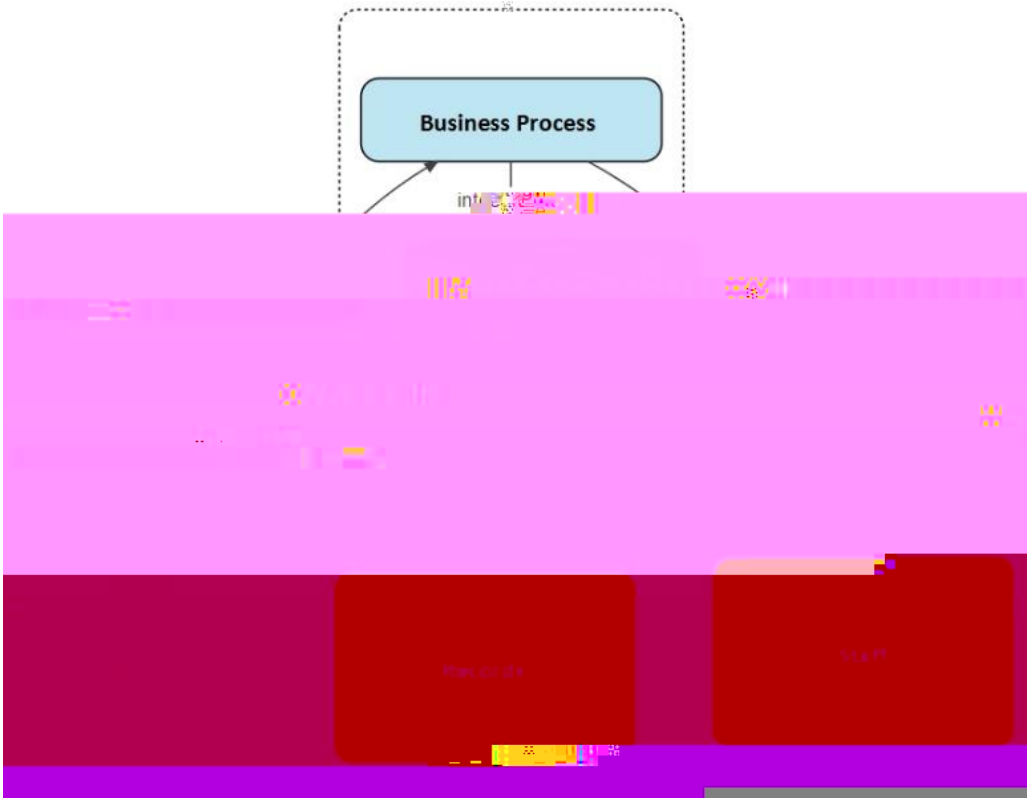
All staff, contractors and consultants engaged in work for the University across all of its sites.

## 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.



## 2. 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 and allocated part of everyday business.

## 3. UNSW Recordkeeping Introduction

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.

All staff have an obligation to be aware of their responsibilities to make and keep full and accurate records of their activities, and how to meet these responsibilities.

Further training and resources on all aspects of University recordkeeping are available at the UNSW Records & Archives website.

## 4. Systems of Record

A record must be created and captured to a University System of Record. These are business systems that have been evaluated to ensure the requirements of a record are met, such as their evidentiary fixed nature, retrievability, security controls, and disposal management. A UNSW System of Record must be:

a system that is managing UNSW records
capable of meeting any specific legislative requirements for these records
able to capture (and return) fixed, complete, authentic, reliable, useable records
able to capture (and show) core metadata (description, structure, context, related, events, retrieval information) now (and beyond the life of the record itself.)
secure and able to restrict access to records (and metadata) (or groups of records) to meet accountability, legislative and business requirements
able to prevent deletion of records and metadata unless as part of authorised disposal activity
able to capture an audit log of system activity
able to support migration and/or controlled disposal of records depending on the period of time for which records must be retained.
authorised as a UNSW system of record, have an identified system owner and business owner and have its status as a system of record reviewed in line with the requirements of the Record Classification (see section 5).

4.1.

The University provides access to its EDRMS (Electronic Document and Records Management System) known as RAMS (Records and Archives Management System) for all staff.

RAMS is an enterprise recordkeeping system accessible to all University staff for the secure capture of business records not directly captured by alternative systems of record.

RAMS is a system of record with extensive security controls in accordance with the Record Classification (see section 5). For managing record security in RAMS, please refer to the RAMS Information Security guidance.

4.2.

The assessment process for Systems of Record is based on the NSW State Archives & Records Authority, Business Systems Assessment Checklist for Recordkeeping, the NSW

_____, ISO 16175
and the National Archives of Australia, Business System Assessment Framework.

The assessment is to be completed by the System Owner and is maintained by the Records & Archives unit.

Further information and resources can be located on the Records & Archives website.

4.3.

nature, such as a duplicate of an existing record, may be destroyed without further recourse under the terms of Normal Administrative Practice (NAP) (refer to section 9.5).

9.1.

Scanning only offers a means by which to more readily access and store records where there is a demonstrable case for doing so.

Records & Archives can assist units in developing a business case for the conversion of records to digital format, for their subsequent capture to an appropriate business system, and for the requirements around the destruction of the source hardcopy records (see section 9.6) once conversion has been completed.

Please contact Records & Archives (records@unsw.edu.au). for further information.

9.5.

Normal Administrative Practice provides a mechanism, under the
(NSW), to enable staff to destroy certain records without the process of formal authorisation described in section 9.1.

This may apply to documents that are considered:

- of short term value (e.g., routine drafts)
- duplicates of other records,
- unimportant (e.g., messages, facilitating instructions and stationery), or
- solicited and unsolicited advertising material.

Staff should contact Records & Archives where clarification is needed. Consideration of any potential enduring value should always be given before implementing NAP.

Records covered by NAP should be securely destroyed by the business owner.

9.6.

Following authorisation for their destruction, records may be destroyed through a secure waste disposal service. Estate Management operates a secure destruction process, available to all staff of the University.

It is imperative that records are only destroyed following authorisation and only through the use of a secure, confidential metho<MCiTm0 g0 G[(d)-1d

The Data & Information Governance Steering Committee provides oversight for initiatives designed to deliver better outcomes for information across UNSW and input on the strategic management of records.

12.3.

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.

their Unit managers are aware of their recordkeeping responsibilities.

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| **Data & Information Governance Steering Committee** | The Data & Information Governance Steering Committee is the governing body for establishing, maintaining, and promoting the values and behaviours that underpin successful Data & Information Governance at UNSW. |
| **Appraisal** | The assessment of University records to determine their retention requirements in accordance with business need and legislative requirements, including the State Records Act (NSW) 1998. |