



~~Research & Archives~~

# UNSW Business Classification Scheme

## About

University records at UNSW are organised using functional classification as defined by the UNSW Business Classification Scheme (BCS).

This document outlines the first- and second-level terms (functions and activities, respectively) for the BCS. By combining a function and an activity, we can define (classify) the business activity being recorded.



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EVENTS	<p>The activities associated with arranging and managing events and festivities, including celebrations, formal ceremonies and social functions, to honour a particular event, occasion or individual, or to conduct fundraising.</p> <p><i>See EXHIBITIONS for records relating to exhibitions.</i></p>	<p>Presentations of awards  Graduation ceremonies  Conferences  Addresses / speeches  Visits</p>
LIAISON	<p>Records relating to interactions, including joint operations, collaboration and co-research, between the University and external organisations, professional associations and community groups, including alumni.</p> <p>Also includes records relating interactions between the University and employee social clubs, groups or activities, as well as suggestions from personnel.</p> <p><i>For complaints requiring investigation or specific responses, capture under the relevant FUNCTION - ACTIVITY.</i>  <i>See STRATEGIC -</i></p>	





## EMPLOYEE RELATIONS

The function of establishing formal relations with the University's employees and their representatives to achieve a harmonious workplace. Includes negotiations conducted to obtain determinations, agreements or awards, industrial disputes settled internally or by an external arbiter, and reports of the state of industrial relations within the University.

See *PERSONNEL - Grievances* for records relating to employee grievances.

See *PERSONNEL - Misconduct* for records relating to disciplining employees.

Activity	Notes	Examples
ADVICE	Records relating to the provision of advice regarding employees, and the application and interpretation of enterprise agreements.	
(EMPLOYER) AGREEMENTS	<p>The processes associated with the establishment, negotiation, maintenance and review of agreements and awards.</p> <p>Includes enterprise agreements, standard agreements and certified agreements resulting from negotiation or bargaining.</p>	Enterprise agreements
APPEALS	<p>The activities involved in the process of appealing against decisions by application to a higher authority.</p> <p><i>See PERSONNEL - Grievances</i> for records relating to employee grievances.</p> <p><i>See PERSONNEL - Misconduct</i> for records relating to disciplining employees.</p>	
AUDIT		
CHANGE MANAGEMENT	<p>Records relating to the review of existing structures and programs.</p> <p>Also includes the activities involved in varying, creating and abolishing individual positions.</p>	Restructuring Workplace change
COMMISSION / COURT HEARINGS	Records relating to employee relations matters resulting in commission or court hearings.	





## FINANCE

The function of managing the University's financial resources. Includes establishing, operating and maintaining accounting system controls and procedures, financial planning, budgeting, obtaining grants and managing funds in the form of allocations from the Consolidated Fund and revenue from charging, trading and investments.

Also includes the monitoring and analysis of assets to assist the delivery of services.

Activity	Notes	Examples
ACCOUNTING	Records documenting the University's financial transactions.	Revenue and e







## GOVERNANCE

The establishment and management of the University and [UNSW group companies](#).

Also includes administering the formal relationship between the University and those processes of government not covered by other functions.

Includes the University's liaison with bodies carrying out investigations and participating in formal inquiries and investigations such as Royal Commissions, and inquiries by Parliamentary Committees and the Ombudsman; and relationships with other Local, State, Commonwealth or overseas governments.

Activity	Notes	Examples
ADVICE	Records relating to the provision of advice to the portfolio Minister or other government organisations	



GOVERNING BODIES	<p>Records relating to the establishment, maintenance and registration as a corporate entity, or review of the University, or any of its controlled entities or governing bodies, including the University Council.</p> <p>Records include:</p> <ul style="list-style-type: none"> <li>certificates</li> <li>memoranda</li> <li>articles of incorporation or association</li> <li>company or corporate registers</li> </ul>	<ul style="list-style-type: none"> <li>Seal registers</li> <li>Register of directors</li> <li>Academic Board</li> <li>University Council</li> <li>UNSW</li> <li>delegations</li> <li>Conflict of interest registers</li> </ul>
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PROCEDURES		
REPORTING	<i>Use the relevant FUNCTION - REPORTING for internal operational reporting. See STRATEGIC - REPORTING for annual reports for faculties, schools, business units, etc.</i>	
SUBMISSIONS	<p>Records relating to submissions to the Minister or government organisations relating to administrative matters, e.g. exemptions for employing personnel during staff freezes.</p> <p>Also records relating to submissions by the organisation on the development or review of legislative or regulatory proposals of other government organisations, or the development or review of government-wide policies developed by central coordinating agencies, e.g. antidiscrimination, Charter of Principles for a Culturally Diverse Society, etc.</p>	



RISK MANAGEMENT	Records relating to the risk management of work health and safety hazards.  Also includes workplace inspections undertaken to identify and monitor work health and safety risks or hazards.	WHS inspections
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## ~~INFORMATION COLLECTIONS MANAGEMENT~~

The function of managing the University's information and knowledge resources, as well as managing collections of items or objects for cultural, heritage, scientific or other research purposes.

Includes creating, capturing, registering, classifying, indexing, storing, retrieving and disposing of records and developing strategies to manage records.

CONTROL

The activities associated with creating, maintaining and evaluating control mechanisms.

Includes classification, indexing, registration, forms design, etc., to ensure maximum control over records and recordkeeping systems.

Business Classification Scheme  
Library access  
Metadata schemes  
Registration of subscribers

PLANNING		
POLICY		
PROCEDURES		
REPORTING		
REVIEWING		
SECURITY	<p>Records relating to security arrangements for records storage, including safes and intellectual security arrangements, such as classifications.</p> <p>Also includes records relating to security breaches affecting information resources.</p>	<p>Security classifications</p> <p>Data classifications</p> <p>Access controls</p>





PLANNING	<i>See STRATEGIC - PLANNING for records relating to strategic, corporate and business planning.</i>	
POLICY		
PROCEDURES		
REPORTING		
REVIEWING		



EMPLOYEE	<p>Records documenting the appointment and subsequent employment history (including separation from the University) of successful applicants for a position.</p> <p>Also includes summary details of leave (e.g. name, type, dates, and approval), and health promotion records relating to an individual employee.</p>	<p>Personnel files Transfers / secondments</p>
GRIEVANCES	<p>Records documenting formal and informal grievances lodged by an employee, including those referred to an external body.</p> <p>Includes notes of meetings, reports and recommendations.</p>	
LEAVE	<p>Records documenting applications for leave.</p> <p>Records include leave requests and applications, and</p>	





ARRANGEMENTS	Records relating to routine arrangements for the use of property. Includes parking arrangements and facility bookings.	
AUDIT		

<p>CONSTRUCTION</p>	<p>Key records relating to the design, construction, major renovation or restoration of property (including buildings, structures and environs).</p> <p>Records include:</p> <ul style="list-style-type: none"> <li>building and development applications, including supporting documentation recording reviews of environmental factors.</li> <li>records demonstrating public reaction to the construction plans/designs as approved</li> <li>plans/designs as executed and variations</li> <li>specifications</li> <li>photographs</li> <li>drawings</li> <li>site diaries and plans</li> <li>records of structural changes made for installations, fit-outs and maintenance</li> <li>records of decisions or approvals regarding naming of buildings, use of coats of arms/heraldry and the erection of plaques on buildings, structures and public spaces</li> <li>display models of architectural quality.</li> </ul> <p>Also relates to construction projects or proposals not proceeded with, and the design and installation of temporary equipment, spaces and structures for events, exhibitions, etc.</p>	<p>Development Approvals (DA)  Building Approvals (BA)  Environmental impact statements  Heritage impact statements  Temporary stages, seating and signage  Construction project management records</p>
<p>CONTAMINATION</p>	<p>Records relating to inspections, identification, management, removal, storage and disposal of toxic or hazardous substances present in buildings or land.</p> <p>Also records relating to the remediation of contaminated sites.</p>	<p>Asbestos  Radiation</p>

DAMAGE

DISPOSAL	Records relating to the disposal of property.  Records include: assessments and investigations valuation certificates records of preparation undertaken before disposal draft versions of contracts of sale containing significant changes/alterations final, approved versions of contracts of sale.	
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## HERITAGE

Records relating to the identification, assessment, protection, conservation and maintenance of assets owned or occupied by the University where the assessment has confirmed that the asset is of heritage significance.

### Records include:

- internal organisational assessments
- records of consultation with communities and other stakeholders
- consultants' reports
- nominations and submissions on proposed listings
- correspondence with heritage bodies
- notifications of inclusion on heritage listings
- notifications of permanent heritage orders
- applications seeking changes to heritage places
- notifications or orders from the Heritage Council, e.g. notifications or orders restricting development or harm to buildings or regarding failures to maintain or repair
- advice and submissions given to or received from heritage bodies regarding maintenance, repair or adaptation





SECURITY	<p>Records relating to property guarding, surveillance and patrol operations, including the provision of access.</p> <p>Also includes records relating to fines and penalties for parking and other traffic offences, as well as records of parking permits.</p>	<p>Access registers  9 L V L W R U V ¶ E  Sign in sheets  Key registers  Security rosters  Security reports  Parking permits</p>
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## RESEARCH

The activities involved in investigating or enquiring into a subject or area of interest in order to discover facts, principles, etc.

Activity	Notes	Examples
ADMINISTRATION	Records relating to routine administration of grant programs, and projects not proceeded with.	
AGREEMENTS		





## IMPLEMENTATION



POLICY		
PROCEDURES		
REPORTING		
REVIEWING		
RISK MANAGEMENT	Records relating to the identification and assessment of organisational risks, in order to assist planning, and the implementation of strategies to minimise their impact.	Risk registers
STANDARDS	Records relating to the development and implementation of standards or benchmarks that provide a framework for the conduct of the University's operations or assessment of its performance.	

## ADMINISTRATION OF STUDENTS

The administration and management of students from application for admission to completion or discontinuation.

See *FINANCE - ACCOUNTING* for records relating to administering student fees and charges.

Activity	Notes	Examples
AGREEMENTS		
APPLICATIONS	<p>Records relating to applications for admission, regardless of decision and outcome.</p> <p>Includes offers which have or have not been accepted or have lapsed, and unsuccessful, incomplete, withdrawn applications, etc.</p> <p>Records include:     application forms and supporting documents</p>	

## ARRANGEMENTS

Records relating to:

administrative arrangements for the management of enrolment processes

supporting documentation for variation of student details for graduation

notifications for change of address or contact details

provision of student identification

arrangement and management of student concessions

arrangements for graduation and determination and notification of



RESULTS	<p>Records relating to the grading/marketing of individual assessment components of a subject or course and determination of final results/grades.</p> <p>Includes:</p> <ul style="list-style-type: none"> <li>H[DPLQHUV DVVHVVRUUV UHSRUWV DQG UH</li> <li>students</li> <li>appeals of grades</li> <li>local faculty level informal requests for extension of assessment components for a subject</li> <li>local special consideration arrangements</li> <li>changes to assessment results as a result of moderation, re-marking or appeal by the student</li> </ul> <p><i>See STUDENT for enrolment and progression records for formal special considerations.</i></p> <p><i>See MISCONDUCT &amp; COMPLAINTS for records relating to changes to assessment as a result of grievance lodged by student or as a result of misconduct.</i></p>	<p>Non-award results</p> <p>Student appeals</p>
REVIEWING		
STUDENT	<p>Records relating to the admission, enrolment and subsequent progress of students.</p> <p>Includes show cause for progression purposes, special considerations affecting enrolment and progression, variations of program, advanced standing, withdrawals, etc., and records relating to working with children checks for students undertaking studies involving contact with children.</p> <p><i>See COMPLIANCE for retention periods applying to records confirming a working with children check has been carried out.</i></p>	<p>Student files</p> <p>Special considerations</p> <p>Advanced standing</p>



## MISCONDUCT

Records relating to the investigation of a licensee, licensed centre or authorised supervisor for serious incidents or breaches that result in sanctions and/or prosecutions. Serious incidents include death or serious injury, physical or sexual assault.

Records include:

- complaints
- notifications
- investigation reports
- correspondence

SERVICE PROVISION	Records relating to the provision of financial assistance services, special needs and accessibility services and other tailored advisory or study support services and assistance to individual students.	Loans and bursaries Interpreters Disability support Childcare services Religious services Student accommodation Health services
STUDENT ASSOCIATIONS	Records relating to the interaction between the University and student associations.	ARC Sporting clubs Student groups



# TEACHING

The activities involved in conveying knowledge.

Activity	Notes	Examples
AGREEMENTS	<i>Use PROPERTY -</i>	

CURRICULUM DEVELOPMENT	<p>Records relating to the development, review or approval of the curriculum.</p> <p>Includes correspondence, reference/advisory/industry groups, records of working parties and notes, and committee records.</p> <p>Also includes records of application for external accreditation and compliance with obligations.</p>	<p>Curricula</p> <p>Faculty handbooks</p> <p>Calendars</p> <p>Course requirements and prerequisites</p> <p>Curriculum development committees</p>
EXAMINATION PAPERS	<p>Masters of examination papers.</p> <p><i>See ASSESSMENT for examination transcripts completed by students.</i></p>	
PLANNING		
POLICY		
PROCEDURES		
REPORTING		
REVIEWING		

## TECHNOLOGY

The function of developing or acquiring, testing and implementing hardware infrastructure, and applications and databases to support the business needs of the University to capture, store, retrieve, transfer, communicate and disseminate information through automated systems. Includes the evaluation of software and hardware and the acquisition, tendering, leasing, licensing and disposal of systems. Also includes communication network systems such as video conferencing, voice mail and electronic mail and the technical aspects of the Internet, Intranet and websites.

Activity	Notes	Examples
APPLICATION DEVELOPMENT	Records relating to the design and development of systems which are proceeded with, including the configuration or customisation of off-the-shelf packages.  Records include: background research	



DISPOSAL	<p>Records relating to the disposal of technology and telecommunications equipment through any means including sale, transfer, auction, exchange, return or destruction.</p> <p>Records include for leased equipment:  written notices and related correspondence, e.g. to and from leasing companies  handover reports.</p> <p>Records include for purchased equipment:  independent valuation certificates verifying work undertaken on assets prior to valuation  written quotes  auction records  related correspondence.</p>	
DISTRIBUTION	<p>Records relating to the routine allocation and distribution of technology and telecommunications equipment, services, facilities, hardware or software to business units and individuals within the organisation, and installation or relocation of equipment that is not part of a stand-alone project.</p> <p>Also includes requests for permission for employees to access or connect to technology and telecommunications systems.</p>	System access

IMPLEMENTATION	<p>Records relating to the implementation of technology and telecommunications strategies, projects, equipment and systems. Systems can include off-the-shelf products or internally developed applications.</p> <p>Records include:</p> <ul style="list-style-type: none"> <li>notes of meetings or reports analysing issues and the outcomes of consultation with employees, stakeholders, etc.</li> <li>project management documentation</li> <li>records of implementation strategies and pilots</li> <li>records of implementation testing</li> <li>records of migration strategies and quality assurance checks for migration</li> <li>records of allocation of technology and telecommunications equipment to individuals or organisational units as part of implementation rollouts</li> <li>records of monitoring of implementation.</li> </ul>	Application roll-outs
INTELLECTUAL PROPERTY	<p>Records relating to managing applications:</p> <ul style="list-style-type: none"> <li>made by the University to use portions of software developed by another organisation or individual, or</li> <li>from the public or other organisations for permission to reproduce portions of software developed by the University.</li> </ul> <p><i>See LEGAL - INTELLECTUAL PROPERTY for records relating to establishment, registration and documentation of the organisation's intellectual property, including intellectual property registers.</i></p>	

MAINTENANCE	<p>Records relating to the maintenance of technology and telecommunications equipment.</p> <p>Records include:</p> <ul style="list-style-type: none"> <li>project management documentation</li> <li>notes of meetings or reports analysing issues and the outcomes of consultation with employees, stakeholders, etc.</li> <li>correspondence and records of advice from vendors, suppliers, consultants, etc.</li> <li>records of maintenance inspections</li> <li>records of requests for maintenance</li> <li>documentation of minor maintenance action.</li> </ul>	
PLANNING		
POLICY		
PROCEDURES		
REPORTING		
REVIEWING		

<p>SECURITY</p>	<p>Records relating to security arrangements made for the protection of technology and telecommunications systems, and records relating to suspected or proven breaches of security arrangements for technology and telecommunications systems.</p> <p>Records include:</p> <ul style="list-style-type: none"> <li>minutes or notes of meetings</li> <li>records of authentication measures</li> <li>records of encryption measures</li> <li>records of advice/approval from other organisations regarding security issues</li> <li>records of maintenance of firewalls</li> <li>records of security testing and audit</li> <li>records of sanitisation of technology equipment prior to disposal, e.g. wiping of hard disks</li> <li>reports on security leaks</li> <li>records of investigations into alleged security breaches</li> <li>records of referral of breaches to law enforcement authorities.</li> </ul>	<p>Cyber security breaches</p>
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