

Record Appraisal Procedure

Version	Approved by	Approval date	Effective date	Next full review
1.0	Manager, Records & Archives	13 December 2017	13 December 2017	December 2020
Procedure Statement				
Purpose	<p>This procedure details how to engage with the process of appraisal for those records that have not been captured to the University's recordkeeping system, RAMS, or an alternative business system.</p> <p>It includes advice on scanning, storing and destroying records.</p>			
Scope	<p>This procedure relates only to records that have not already been registered in the University's corporate recordkeeping system, RAMS (Records & Archives Management System) or other enterprise systems of the University.</p>			

Are Local Documents on this subject permitted?

Yes, however Local Documents must be approved by the Records & Archives Manager.

Records captured to University enterprise business systems have, through their capture to the system, already undergone a process of appraisal and do not require further action.

Records of an ephemeral nature, copies, and other short-term records may be destroyed without approval. This provision, known as Normal Administrative Practice (NAP) is detailed in Section 6 of this procedure.

2. Appraisal

Appraisal describes the process of determining how long records need to be kept. This process is conducted by Records & Archives staff, with the assistance of the business owners of records.

The routine appraisal of records ensures their availability as information assets of the University, provides clarity on the requirements around their retention, assists in finding the right information at the right time, and helps in the identification of underlying information management issues.

2.1. Records & Archives appraisal decisions

Records & Archives staff make record appraisal decisions in accordance with the requirements of the State Records Act 1998 (NSW) ("the Act") and relevant disposal authorities. UNSW adheres to the statutory framework established by the Act, including following the General Retention and Disposal Authorities (GDAs), issued by the State Archives and Records Authority NSW (SARA). Trained Records & Archives staff are responsible for applying the GDAs and implementing the appropriate retention guidelines.

Within the GDAs are a range of retention guidelines, which vary based on the determined historical, legal, fiscal, administrative or research value of each record. In most instances, a minimum retention period is provided which outlines the minimum amount of time a record must be retained before transfer as an archive or destruction. Consideration is given to any current or potential legal actions and other University purposes when applying these directions. UNSW has also established an internal Functional Disposal Authority (FDA) to assist staff to implement informed disposal decisions.

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 (Section 7) once conversion has been completed.

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

6. Normal Administrative Practice (NAP)

Normal Administrative Practice provides a mechanism, under the NSW State Records Act 1998 (NSW), to enable staff to destroy certain records without the process of formal authorisation described in Section 4.

This may apply to documents that are considered:

- of short term value (e.g. routine drafts, working papers and background research),
- 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 destroyed by the officer responsible by shredding or electronic deletion, or by contacting Estate Management to arrange for their confidential destruction.

7. Confidential Destruction

Following authorisation for their destruction, records may be destroyed by shredding, or 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 method. Records placed in standard waste processes introduce the risk of the loss of confidential information.

Accountabilities	
Responsible Officer	Manager, Records & Archives
Contact Officer	Information Management Analyst, 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 (NSW)</i></p> <p><i>Evidence Act, 1995 (NSW)</i></p> <p><i>Government Information (Public Access) Act, 2009 (NSW)</i></p> <p><i>Health Records and Information Privacy Act, 2002 (NSW)</i></p> <p><i>Privacy and Personal Information Protection Act, 1998 (NSW)</i></p> <p><i>Children and Young Persons (Care And Protection) Act, 1998 (NSW)</i></p> <p><i>Public Finance and Audit Act, 1983 (NSW)</i></p> <p><i>University of New South Wales Act, 1989 (NSW)</i></p> <p><i>Work Health and Safety Act, 2011</i></p>

Parent Document (Policy)	Recordkeeping Policy Recordkeeping Standard
Supporting Documents	Record Security Guideline Record Titling Guideline Archives Access Guideline Archives Acquisition Guideline
Related Documents	Data Governance Policy Email Policy IT Security Policy Procurement Policy
Superseded Documents	Nil
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.)

Appendix 1: Record Appraisal Workflow

