State Records Management

Written Direction No. WDCSG18219
Approved by: Chief Operating Officer
Approval Date: 29 March 2018
Effective From: 1 April 2018

Introduction

The *State Records Act 1998* (NSW) is designed to ensure effective management (efficiency, accountability and protection) of Government records throughout their existence and mandates record management obligations on NSW Government entities.

Purpose

This State Records Management Policy (Policy) outlines the principles and responsibilities for records management in TAFE NSW.

Scope

This Policy applies to all TAFE NSW employees, consultants, contractors and agency staff.

The Policy covers all records, irrespective of format (including documents, email, voice messages, memoranda, minutes, audio-visual materials and business system data), that are created, collected, processed, used, maintained, stored and disposed of in the conduct of TAFE NSW's official business processes.

This Policy applies to all business applications used to create, manage and store records, including email, websites, social media applications, databases and business information systems.

Policy

TAFE NSW is committed to compliant records management to ensure business continuity, capture intellectual property and continuous improvement.

Good records management facilitates TAFE NSW's strategic priorities and business operations.

The Senior Responsible Officer, as required by the State Archives and Records Authority (SARA) responsible for the oversight of records and information management for TAFE NSW is the Chief Operating Officer.

Records Management Principles and Commitments

TAFE NSW will adopt the following principles in its records management.

1. Records must be **made** to document and facilitate the transaction of TAFE NSW's business activities and captured in corporate business information systems.

2. Records must **accurately** reflect what was transacted, done, decided or communicated.

3. Records must be **authentic**: Records should be what they claim to be.

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4. Records must have **integrity**: Records should be securely maintained to prevent unauthorised access, destruction, alteration or removal. Records must be retained for as long as they are needed.

5. Records must be **useable**: Records must be understandable, complete, accessible and available through time when needed. A record must contain not only the content but also the structural and contextual information necessary to document a transaction.

6. **Vital records** for all business information systems **must** be identified and controlled in a Vital Records Plan/Register.

7. Business information systems **must** meet the metadata standards of SARA and TAFE NSW's metadata policy.

8. Records which are of **continuing or enduring value** should be identified with recommendation on which of those records should be kept as State archives.

9. **Digital records** that need to be kept as evidence of business activity **must** be electronically captured systematically in an approved format and managed in the corporate recordkeeping system(s).

10. All **business information systems** acquired or developed for the transaction of business including electronic service delivery **must** meet the requirements of *Standard 12 Records Management*.

TAFE NSW will adopt the following practices in line with the records management principles.

11. TAFE NSW will comply with *Standard 11 Standard on the physical storage of State records.*

12. TAFE NSW will employ and provide training opportunities to its skilled and qualified records management practitioner to manage its records management compliance.

13. TAFE NSW will establish resource and monitor a records management program.

14. Digitisation of TAFE NSW paper records will comply with the published SARA requirements.

15. The TAFE NSW will implement a monitoring and review program, in conjunction with its metadata policy, to address technological obsolescence.

16. The systematic disposal of information and records will be undertaken in accordance with the TAFE NSW recordkeeping procedures.

17. TAFE NSW will utilise the General and Functional Retention and Disposal Authorities issued by SARA to sentence its records.

18. The decommissioning, of any line of business applications will be assessed against the relevant retention and disposal authority requirements for the records held in that system.

19. Destruction certificates will be created and maintained on all records that are disposed of by destruction.

20. TAFE NSW will maintain those records identified as State Archives and will transfer those records no longer in use in accordance with SARA requirements.

21. TAFE NSW will identify systems that hold high risk and/or high value records and any risks to the records must be identified, managed and mitigated.

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22. TAFE NSW will cooperate and liaise with SARA in relation to monitoring compliance.

23. TAFE NSW's Access Directions for sensitive records and information will be developed in accordance with:

- NSW Digital Information Security Policy
- NSW Information Classification and Labelling Guidelines
- Information Protection Principles in the *Privacy and Personal Information Protection Act 1998* (NSW)
- Health Privacy Principles in the *Health Records and Information Privacy Act 2002* (NSW)
- *Government Information (Public Access) Act 2009* (NSW)
- SARA's *Procedures for Making Access Directions*

24. Any cloud computing service that involves the creation, management, access or storage of government information and records will be assessed against the NSW Government Cloud Policy and the *State Records Act 1998* (NSW).

Responsibilities

Position	Responsibility
Chief Operating Officer	The Chief Operating Officer is the Approver for this Policy and is the Senior Responsible Officer for record and information management within TAFE NSW.
TAFE NSW personnel	All TAFE NSW personnel (including outsourced service providers performing work for TAFE NSW are responsible for: 1. complying with this Policy and all other records management written directions; 2. creating full and accurate records of activities and business decisions; 3. using the corporate recordkeeping system or approved, compliant business systems and applications to capture and manage records; 4. sharing and reusing records to support collaboration, knowledge transfer and consistent decision-making; 5. protecting and safeguarding records from unauthorised access, or accidental or deliberate loss or damage; 6. complying with all relevant legislation, standards and other mandatory requirements relating to records and information management; 7. applying only approved records retention and disposal authorities and procedures to preserve and dispose of records and information; and 8. ensuring only proper use is made of any official information in the course of conducting TAFE NSW business.

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Definitions

Term	Meaning
Records	Means any document, data or information compiled, recorded or stored in written form or on film, or by electronic process, or in any other manner or by any other means that is evidence of or captures business activities and transactions. Records must convey an understanding of facts and assumptions relating to a business decision or transaction and must be complete (which means they comprise contextual and structural data as well as content data).
Records management	Means the discipline and organisational function of managing records to meet operational business needs, accountability requirements and community expectations. This work includes a range of activities (creation, capture, maintenance, use through to eventual disposal, planning, directing, organising, training) to ensure appropriate and trustworthy records in any format and generated by any process are available to the organisation.
Record keeping	Means the process of making and maintaining complete, accurate and reliable evidence of business transactions in the form of recorded information.
TAFE NSW personnel	Means employees, consultants, contractors and agency staff.

Related Documents

This policy should be read in conjunction with the following related documents:

Internal documents

- TAFE NSW Code of Conduct and Ethical Practices
- TAFE NSW Student Rights and Responsibilities

Legislation

- *State Records Act 1998*
- *Government Information Public Access Act 2009 (NSW)*
- *Health Records and Information Privacy Act 2002 (NSW)*
- *Privacy and Personal Information Protection Act 1998 (NSW)*

External documents

- *Information Management Responsibilities Guidance*
- *NSW Location Intelligence Strategy*
- *NSW Government Cloud Policy*
- *NSW Government Open Data Policy*
- *State Records Authority Standard 12 Records Management*
- *Standard 11 Standard on the physical storage of State records*
- *NSW Government Disaster Recovery Guidelines*
- *Making Access Directions Procedures*
- *NSW Information Management Responsibilities Guidance*
- *NSW Digital Information Security Policy*
- *NSW Classification, Labelling and Handling Guidelines*
- *Standards for Registered Training Organisations (RTOs) 2015*

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- *ASQA Users' Guide to the Standards for RTOs 2015*

Contacts

Accountable Officer **General Manager Governance, Legal & Risk**

WD Officer   Head of Governance & Corporate Compliance

Document Information and Review

This policy document will be reviewed at least every two years.

Record No.   PROJ18/981

Review Due: 1 APRIL 2020

Approval History

No.	Effective	Approved by	Amendment
1	1 April 2018	Chief Operating Officer	NA

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