



**State Archives
& Records**

Operational Policy

RECORDS MANAGEMENT POLICY

Version: 1.1

Date: March 2022

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Document control

Author/Owner:	Corporate ICT
Date of effect:	21 May 2020
Date last modified:	3 March 2022
Date for review:	3 March 2023
Approval (Executive Director)	Name: Adam Lindsay Date: 21 May 2020 Signature: 

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1. Purpose

To establish the framework and principles for effective records management that facilitates legislative compliance and supports the functions and activities of State Archives and Records of New South Wales (SARA).

2. Policy Statement

SARA's records are its corporate memory and vital for the management of the historical and cultural collections for the people of NSW.

SARA is committed to managing records and information as valuable corporate assets.

SARA is committed to implementing and maintaining a Records Management Program which supports best practice records management policy, practice, processes and systems.

All records created or received by all SARA staff, in the course of their duties on behalf of SARA, are the property of SARA and subject to its overall control. The only exceptions include if jurisdiction legislation or a contract or other legally binding agreement is in place that specifically states otherwise.

3. Scope

This policy applies to all records and associated metadata and covers:

- all SARA staff, contractors and consultants, regardless of employment type
- all aspects of SARA's business operations
- all types and formats of records (physical and digital) created to support business activities
- all business applications used to create and capture records
- organisations and businesses, including their employees, to which SARA has outsourced its functions or activities, and therefore associated recordkeeping responsibilities.

This policy does not apply to records created by any other agencies: the State Archives Collection and the records stored in the Government Recordkeeping Repository (GRR), except where they form part of a SARA business transaction.

4. Definition of terms

4.1. Metadata

Data describing data and data systems. In records management, recordkeeping metadata is data that describes the context, content and structure of records and their management through time. (AS ISO 15489 Part 1 Clause 3.12)

4.2. Record

A record is information created, received and maintained as evidence and as an asset by an organization or person, in pursuit of legal obligations or in a transaction of business (AS ISO 15489.1:2017 Clause 3.14)

4.3. Records Management Program

A records management program encompasses the management framework, the people and the systems required within an organisation to manage full and accurate records over time. This includes the identification and protection of records with long term value and State archives.

5. Roles and Responsibilities

5.1. Executive Director

The Executive Director is responsible for:

- providing direction, support and resources for records management to ensure compliance with the State Records Act 1998 (section 10) and other relevant legislation
- assigning responsibilities to the Senior Responsible Officer (SRO) for the oversight of records management.

5.2. Senior Responsible Officer (SRO)

The Director Corporate Services is the nominated SRO and is responsible for:

- oversight of the Records Management Program, policy, and practices
- ensuring that the Records Management Program complies with relevant statutory requirements, including access directions and authorised retention and disposal.
- ensuring records management strategies aligns and supports SARA's Strategic Plans
- promoting records management policies and strategies and allocates sufficient resources to implement them
- representing records management interests at appropriate decision-making bodies.

5.3. Directors / Managers / Supervisors

Directors, managers and supervisors are responsible for:

- records created/received and managed by their programs/areas
- supporting and fostering a culture of good recordkeeping in SARA
- bringing the Records Management Program to the notice of all staff in their programs/business areas.
- ensuring compliance with records management requirements within their programs/business areas, in particular when implementing/upgrading any business systems, services and work processes
- ensuring staff are provided adequate time to undertake recordkeeping induction, training sessions and recordkeeping responsibilities
- notifying the Records Management Program when introducing new activities, systems and service arrangements

- determining legislative requirements for records relating to their specific activities.
- providing internal authorisation on records and information disposal.
- advising the SRO or Records Management Service on topical and recordkeeping issues, business needs and changes to functions or activities.

5.4. Records Management Service

The Records Management Service is responsible for:

- developing, reviewing, implementing and monitoring strategies, procedures and business rules to support this Policy
- reviewing and monitoring recordkeeping compliance across SARA and making recommendations for improvement or modification of practices
- developing and facilitating a training program to educate staff on records management
- providing records management support and advice to all staff
- administering disposal of records and information
- reporting to SRO and executive according to reporting framework.

5.5. Corporate ICT

The Corporate ICT unit is responsible for:

- ensuring that the technology used to support the systems that create, capture and keep records electronically are reliable, available and accessible to SARA staff as required
- incorporating records management requirements into business system operational and maintenance plans, and into design specifications when building, reviewing, upgrading or acquiring new business systems
- providing assurance that back-up and recovery strategies adequately meet records management storage requirements
- implementing information security measures according to security and risk policy
- managing and monitoring service provisions in any outsourced, cloud and/or similar service arrangements.

5.6. Business System Owners

All owners of business systems that store records and associated metadata is responsible for:

- incorporating records management requirements into system operational and maintenance plans, and into design specifications when building, reviewing, upgrading of acquiring new business systems
- ensuring that their business system do not facilitate deletion/destruction of disposal of records without the correct authorisation.

5.7. All Staff, contractors and consultants

All Staff, contractors and consultants are responsible for:

- complying with SARA's Records Management Policy, procedures, standards and business rules
- attending records management and EDRMS training
- creating and capturing records of their work in the recordkeeping system and SARA approved business systems
- ensuring that they do not destroy records without the correct authorisation, except through the appropriate application of normal administrative practice
- protecting sensitive records from unauthorised access.

6. Related Documents / Links

6.1. Internal

- [Privacy Management Plan SARASLM](#)
- Procedures for Register of SRO's
- [Procedures for Labelling and Handling of Sensitive Information](#)
- (Procedures for Access to SARA records – **Draft**)
- Appropriate Use of Digital Technologies

6.2. External

- [State Records Act, 1998](#), [Standard on records management](#) and relevant retention and disposal authorities
- [Government Information \(Public Access\) Act 2009](#)
- [Privacy and Protection of Personal Information Act 1998](#)

7. Review

Reviews will be undertaken by Government Recordkeeping at least annually, and more frequently if changes in legislation, policies or other areas require the amendment of this policy. The next scheduled review is due in March 2023.

Subject	Records Management
Policy Officer	SRO
Approval Authority	Executive
Review Date	March 2022

Revision History

Version	Approved / Amended / Rescinded	Date	Board / Executive Director	Key Changes & Notes
New	Approved	21 May 2020	Executive Director	
Reviewed	Approved	22 March 2022	Chief Executive Officer	

8. Contacts

For further information, please contact the Head of ICT

Appendix 1: Related legislation, policies and procedures

The key legislation, policies and procedures relevant to SARA/DPC include:

- [**State Records Act, 1998, Standard on records management**](#) and relevant retention and disposal authorities
- [**Government Information \(Public Access\) Act 2009**](#)

Related SARA/DPC policies and procedures as issued from time to time:

- [Privacy Management Plan](#)
- Procedures for Register of SRO's
- [Procedures for Labelling and Handling of Sensitive Information](#)
- (Procedures for Access to SARA records – **Draft**)