



State Archives
& Records



Records Management Fundamentals for Senior Executives & Senior Responsible Officers

A NSW State Archives & Records awareness session

About State Archives and Records Authority of NSW

The Authority is the custodian of the nation's oldest archives collection and the largest collection of records documenting the history of NSW. The Authority was established to document, preserve and provide public access to this collection.

Measuring 85 linear kilometres, containing 14 million items and dating from 1787, the State Archives Collection has a financial value of around \$1 billion.

Overview



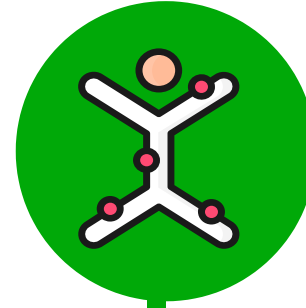
01

WHY records?



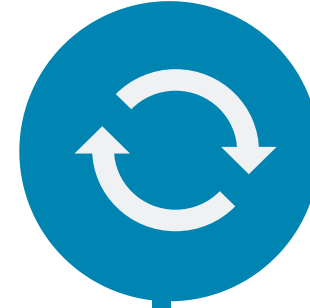
02

WHAT are
records &
State records?



03

WHO is
responsible
for them?



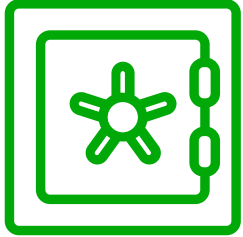
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HOW are
they
managed?

NSW records regulatory regime



Obligation to protect records



State Records Act 1998 s.11(1)

Each public office must ensure the safe custody and proper preservation of the State records that it has control of



State Records Act 1998 s.21(1)

A person must not:



(a) abandon or dispose of a State record



(b) transfer or offer to transfer, or be a party to arrangements for the transfer of, the possession or ownership of a State record



(c) take or send a State record out of NSW



(d) damage or alter a State record



(e) neglect a State record in a way that causes or is likely to cause damage to that record



State Records Act 1998 s.70(b)

The Board has the the function of granting approvals for the purposes of sections 13 and 21



The Authority facilitates the Board's approval process



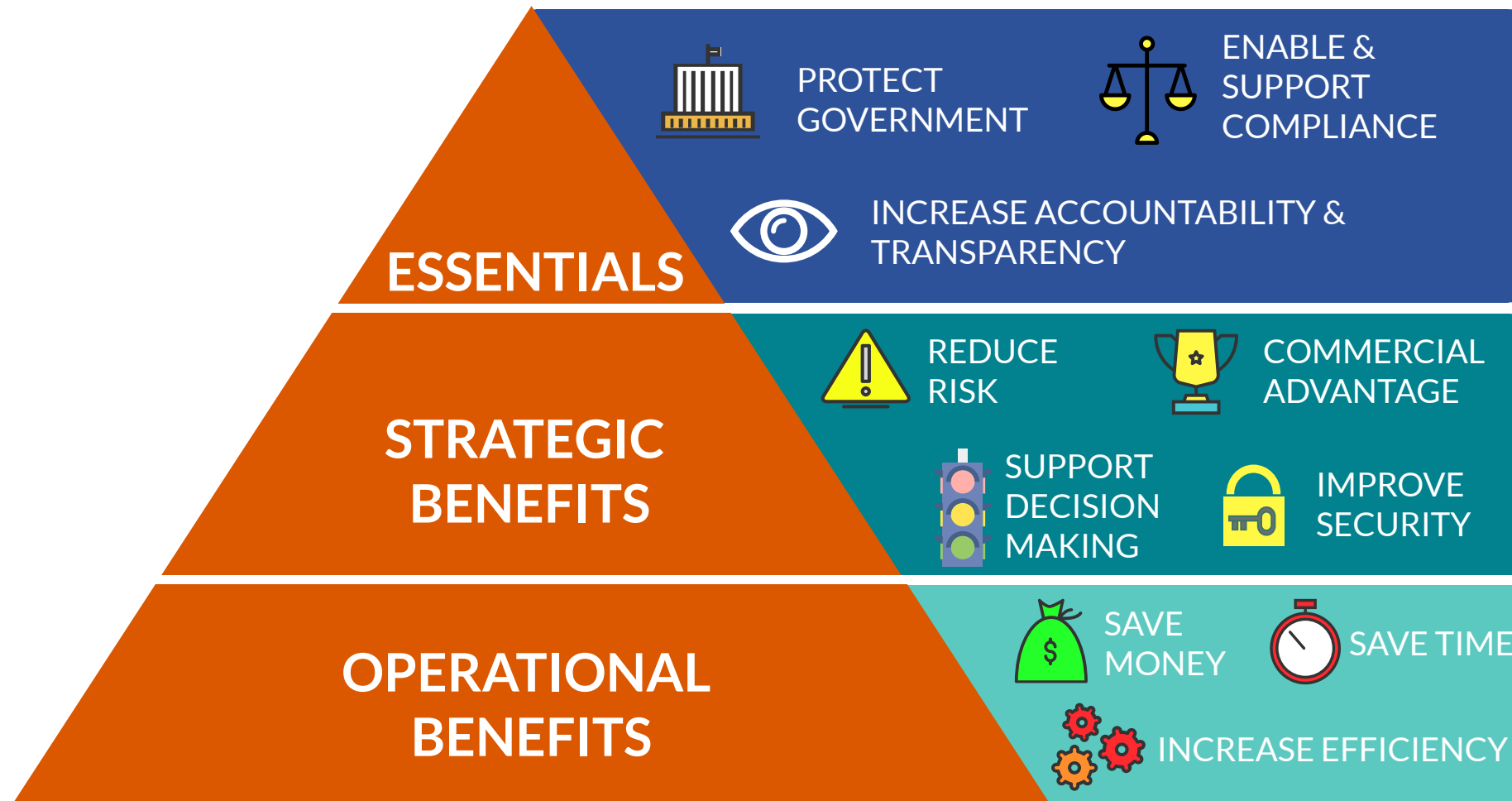
Why records?

“The creation of detailed and accurate records and the exercise of good recordkeeping practices are important elements of good governance. They help promote consistency of practice, retention of organisational memory and institutional accountability. They also help institutions to maintain descriptions of their processes, decisions, activities and responses to critical incidents, providing a level of transparency and evidence of practices that can be relied on in the future.”

Final Report of the Royal Commission into Institutional Responses to Child Sexual Abuse: Volume 8:
Recordkeeping and information sharing p.38

Why records & recordkeeping?

HIERARCHY OF RECORDKEEPING BENEFITS



What are records & State records?



Record means any document or other source of 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.

s.3(1) *State Records Act 1998*



State record means any record made and kept, or received and kept, by any person in the course of the exercise of official functions in a public office, or for any purpose of a public office, or for the use of a public office, whether before or after the commencement of this section.

s.3(1) *State Records Act 1998*



Recordkeeping obligations

s.10 State Records Act

The **chief executive** of each public office has a duty to ensure that the public office complies with the requirements of this Act and the regulations and that the requirements of this Act and the regulations with respect to State records that the public office is responsible for are complied with.

s.12 State Records Act

(1) Each public office must make and keep full and accurate records of the activities of the office.



Recordkeeping obligations

Standard on records management



Principle 1

Organisations take responsibility for records and information management



Senior management responsibility

1.2 Records and information management is the responsibility of **senior management** who provide direction and support for records and information management in accordance with business requirements and relevant laws and regulations.



Senior Responsible Officer (SRO)

1.3 Corporate responsibility for the oversight of records and information management is allocated to a designated individual (Senior Responsible Officer).



Business Owners and business units responsibility

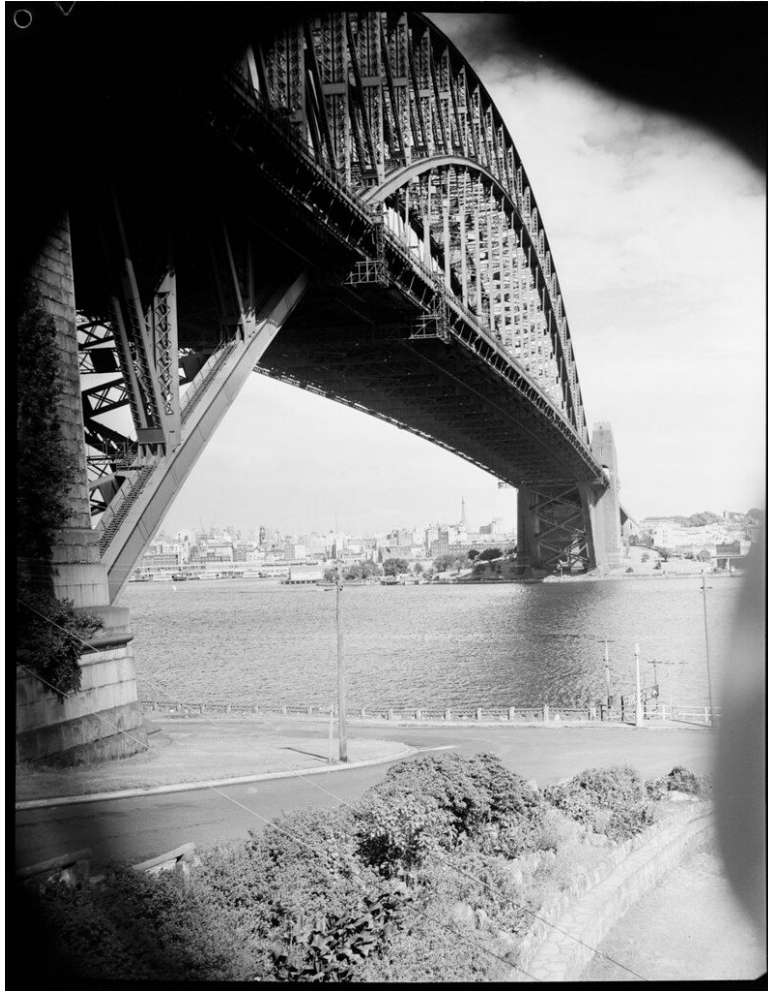
1.5 Responsibility for ensuring that records and information management is integrated into work processes, systems, and services is allocated to **business owners and business units**.

Individual recordkeeping obligations

Standard on records management
1.6 Staff and contractors understand the records management responsibilities of their role, the need to make and keep records, and are familiar with the relevant policies and procedures.



The records management program



s.12 State Records Act



Keep full and accurate records

(1) Each public office must make and keep full and accurate records of the activities of the office.



Establish and maintain a records management program

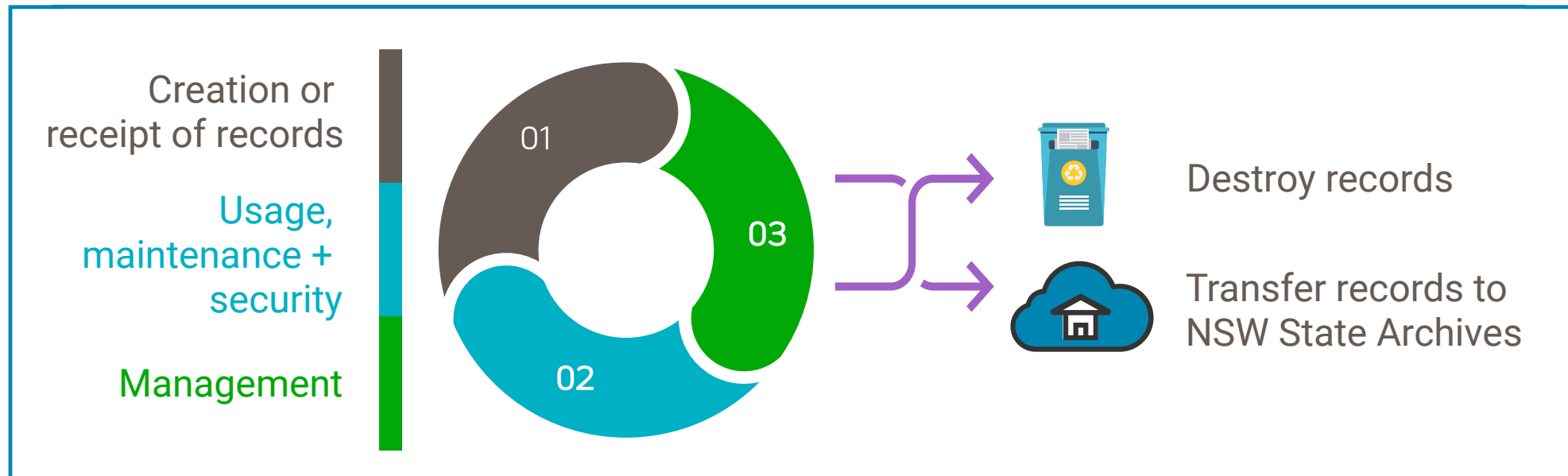
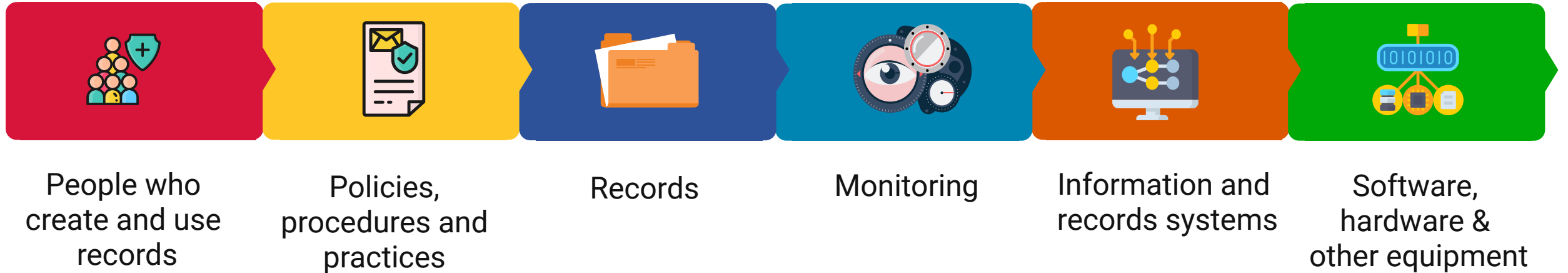
(2) Each public office must establish and maintain a records management program for the public office in conformity with standards and codes of best practice from time to time approved under s.13.



Monitoring arrangement with SARA

(4) Each public office must make arrangements with the Authority for monitoring by the Authority of the public office's records management program and must report to the Authority, in accordance with arrangements made by the Authority, on the implementation of the public office's records management program.

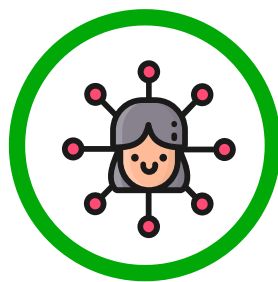
The records management program



Individual recordkeeping obligations



CREATE AND SAVE
RECORDS AS SOON AS
PRACTICABLE



GET TRAINED & USE
OFFICIAL BUSINESS
SYSTEMS



LOOK AFTER ANY
PHYSICAL RECORDS
THAT YOU ARE
TEMPORARILY
STORING



KNOW AND FOLLOW
YOUR POLICY,
PROCEDURES AND
PRACTICES



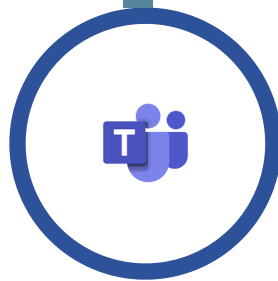
SAVE KEY DRAFTS &
FINAL VERSIONS INTO
OFFICIAL
RECORDKEEPING
SYSTEMS



PREVENT
UNAUTHORISED
ACCESS AND ALLOW
LEGITIMATE ACCESS



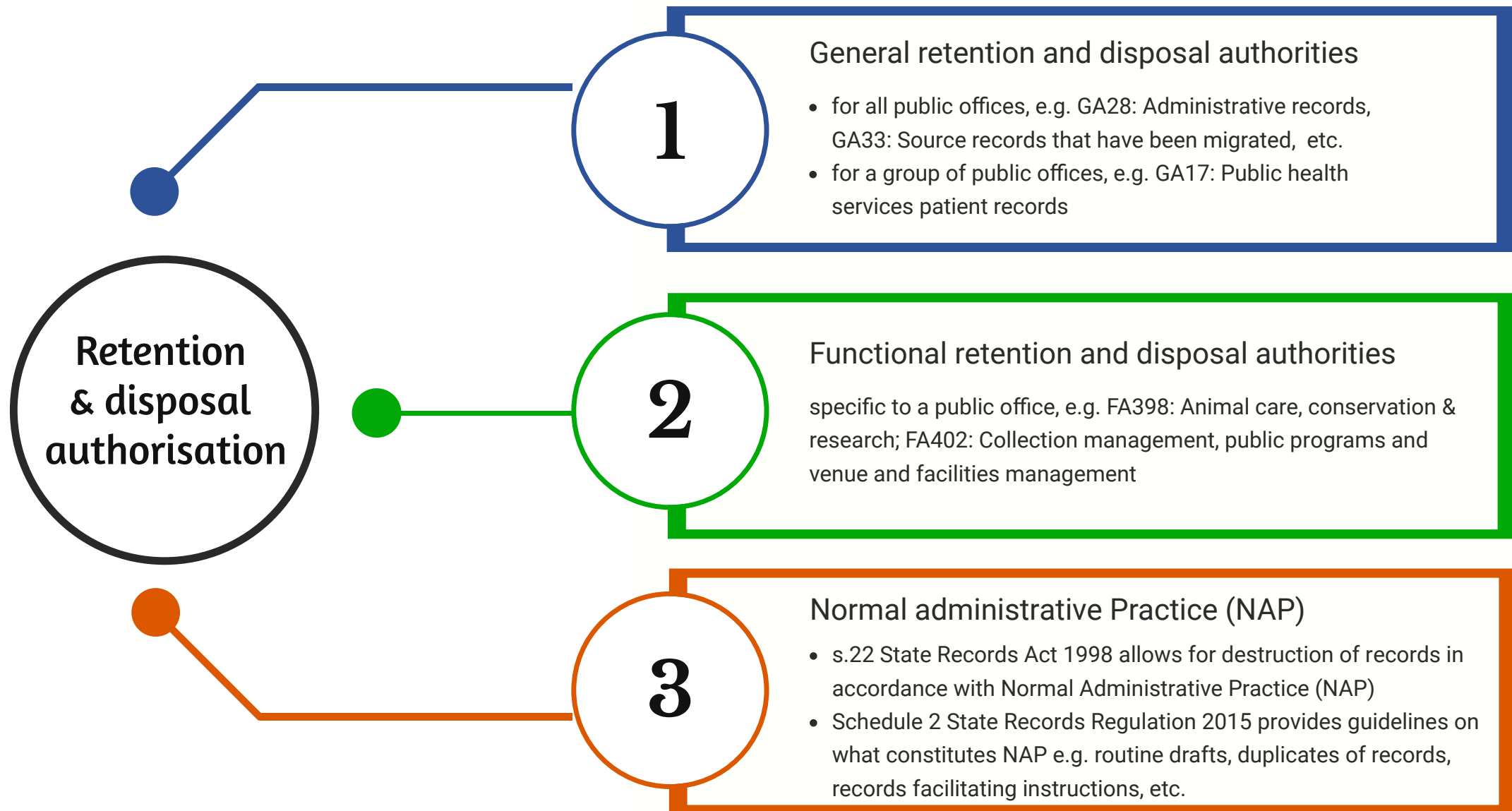
AVOID USING YOUR
PRIVATE EMAIL,
MESSAGING APPS OR
SOCIAL MEDIA
ACCOUNTS FOR WORK



USE COLLABORATIVE
SYSTEMS FOR
COLLABORATION ONLY



APPROVE
DESTRUCTION ONLY





Thank You

For further information or advice:
RECORDKEEPING STANDARDS & ADVICE
govrec@records.nsw.gov.au
<https://www.records.nsw.gov.au/recordkeeping>

Additional resources:

- Senior Executive Fundamentals: Senior Executive Obligations – Records management / Public Service Commission
- Good conduct and administrative practice: Guidelines for state and local government / NSW Ombudsman