



Version	Approved by	Approval date	Effective date	Next full review
1.0	Manager, Records & Archives	28 January 2020	28 January 2020	January 2023
<b>Guideline Statement</b>				
<b>Purpose</b>	This guideline sets out the recordkeeping requirements for all records relating to third-party agreements.			
<b>Scope</b>	This guideline applies to all UNSW staff and contractors responsible for creating or receiving records supporting third-party agreements entered into by the University, or on behalf of the University, including signed contracts.			
<b>Are Local Documents on this subject permitted?</b>	<input type="checkbox"/> Yes, however Local Documents must be consistent with this University-wide Document.			<input checked="" type="checkbox"/> No
<b>Guideline</b>				

**Contents**

1.	Background .....	1
2.	Capturing records .....	1
2.1.	Capturing records in RAMS.....	1
2.1.1	Titling.....	2
2.2.	Scanning hardcopy records.....	2
2.3.	Recordkeeping support .....	2
3.	Internal reference number .....	2

**1. Background**

This guideline was established in response to an identified need for consistency in how records relating to third-party agreements are managed across the University.

The aim of this guideline is to ensure that all records relating to third-party agreements are appropriately captured so they can be easily located, accessed only by authorised personnel, and are stored appropriately.

**2. Capturing records**

All UNSW staff and contractors have a [responsibility](#) to make and keep full and accurate records of their activities. This includes records that demonstrate how an agreement with a third-party is developed and approved, as well as the final signed contract.

All University records must be captured to a [System of record](#) by the responsible business unit in a timely manner. In most cases, [RAMS \(the Records & Archives Management System\)](#) will be the appropriate system for the capture of these records.

**2.1. Capturing records in RAMS**

A new container (a *UNSW Electronic Folder*) should be created in RAMS for each new third-party agreement. The signed agreement and any supporting records should be captured to this same container to provide context to the agreement.

Access Control should be applied to the container in accordance with the *UNSW Record Security Guideline*.

### 2.1.1 Titling

All third-party agreement containers should be classified as *[Function] – Agreements*, in line with the [UNSW Business Classification Scheme](#). The free text part of the container title should include:

- the name of the agreement
- the names of the parties involved and
- the date (and term) of the agreement.

## 2.2. Scanning hardcopy records

Hardcopy records relating to third-party agreements should be digitised and captured in RAMS. In most cases, the source hardcopy records can then be [destroyed](#).

## 2.3. Recordkeeping support

Records & Archives can assist with capturing third-party agreements and their supporting documents into RAMS. A RAMS container creation form is available on the [Records & Archives website](#).

## 3. Internal reference number

All third-party agreements captured in RAMS must have an internal reference number included in the contract. This number will be the record number of the container in RAMS and will ensure that records relating to the agreement can be easily found.

Accountabilities	
Responsible Officer	Manager, Records & Archives
Contact Officer	Information Management Analyst, Records & Archives
Supporting Information	
Legislative Compliance	This guideline supports the University's compliance with the following legislation: <a href="#">State Records Act, 1998 (NSW)</a> <a href="#">Evidence Act, 1995 (NSW)</a> <a href="#">Government Information (Public Access) Act, 2009 (NSW)</a> <a href="#">Public Finance and Audit Act, 1983 (NSW)</a> <a href="#">University of New South Wales Act, 1989 (NSW)</a>
Parent Document (Policy)	<a href="#">Recordkeeping Policy</a> <a href="#">Recordkeeping Standard</a>
Supporting Documents	Record Security Guideline Record Titling Guideline
Related Documents	<a href="#">Procurement Procedure</a>
Superseded Documents	Nil
File Number	2020/002057
Definitions and Acronyms	
Consultant	An external person or organisation engaged with a specific skillset and knowledge not normally available at UNSW to provide professional or expert advice in a specific field. They have greater subject matter expertise than would be feasible for UNSW to retain in-house and are typically engaged on short term basis.

<b>Contract</b>	An agreement between two or more parties (supplier and UNSW) that sets out what will be delivered at what cost. This may be a UNSW Purchase Order, a UNSW template Contract, a UNSW Contract or consultancy agreement or other form of Contract.			
<b>Third-party, agent or partner arrangements</b>	<p>Where a higher education provider has, or intends to have, any aspect of its services carried out on its behalf through a partner, agent or third-party arrangement. A third-party, agent or partner arrangement may include, for example: partnerships with other institutions, higher education providers, or entities; the formation of joint ventures or special purpose companies; sub-contracting of services; or franchising arrangements.</p> <p>Third party agreements include any general goods and services procured for on behalf of UNSW, including all contractors and consultancies.</p>			
<b>Revision History</b>				
Version	Approved by	Approval date	Effective date	Sections modified
1.0	Manager, Records & Archives	28 January 2020	28 January 2020	This is a new guideline