



Version	Approved by	Approval date	Effective date	Next full review
1.0	Manager, Records & Archives	13 December 2017	13 December 2017	December 2020
<b>Procedure Statement</b>				
<b>Purpose</b>	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. It includes advice on scanning, storing and destroying records.			
<b>Scope</b>	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.			
<b>Are Local Documents on this subject permitted?</b>	<input checked="" type="checkbox"/> Yes, however Local Documents must be consistent with this University-wide Document		<input type="checkbox"/> No	
<b>Procedure Processes and Actions</b>				

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**1. Introduction**

A University record is any document, created or received by University staff in the course of their official duties and kept as evidence of the transaction of business activities.

University records can be in any form, including hardcopy and digital.

University records must never be destroyed without first undergoing a process of appraisal to determine their value to both the University and to the State of NSW, and the minimum legal period for which they must be retained. Their destruction must always be correctly documented.

A graphical representation of this process is included in Appendix 1.

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.

## **3. Record Lifecycle**

All records have a lifecycle that is determined by the circumstance of their creation, by the act which they document. This continues through their capture to a recordkeeping system, use as an active record and ultimately, to their timely destruction or transfer to the custodianship of an archive.

Best practice recordkeeping links the classification of records at their initial point of capture to this lifecycle, enabling their longevity to be understood and managed from the outset.

Where this is not possible, the appraisal of records should be undertaken regularly as a routine business activity, initiated by the business owner.

Records that are appraised as having enduring value will be transferred into the custody of the University Archives. This ensures the preservation and effective management of these records so that they can be used in the future. The Archives Acquisition Guideline contains further information on this process. Records that are eligible for destruction are usually destroyed in a timely manner unless a business reason for their extended retention exists.

Where a compelling business need exists, business units can have their records retained beyond the minimum retention periods. Such records will generally be stored offsite at the cost of the unit, with a new retention period applied so the University does not commit resources unnecessarily. Refer to Section 4.2.3 for further information on accessing offsite records storage.

Records may also in certain circumstances, be scanned and the source hardcopy records destroyed. This process of digital conversion has no impact on the record lifecycle, only its format. Further information can be located in Section 5 of this procedure.

## **4. Process**

Records requiring appraisal should be identified by the business unit and documented. This information is then e-mailed to Records & Archives who will undertake the appraisal process. There is no need to send the records to Records & Archives at this stage. Where necessary, an in situ appraisal by Records & Archives staff will be arranged.

Records & Archives will then recommend one of two outcomes, destroy or retain, for which a number of options are available to the business unit.

#### 4.1. Destroy

Records will be authorised to be destroyed when minimum required retention periods have passed and they are not subject to:

- current or pending legal proceedings
- an application for access under the Government Information (Public Access) Act 2009 (NSW), the Health Records and Information Privacy Act 2002 (NSW) or the Privacy and Personal Information Protection Act 1998 (NSW)
- a Government policy or directive not to be destroyed

The appraisal form will be returned to the business unit with 'Destruction Authorised'. The business unit may then arrange for their confidential destruction (refer to Section 7), and retain the form as evidence of the process.

If the business unit has a compelling business need for their extended retention, they may apply an extended retention date based on this need, and either retain the records in the unit (refer to Section 4.2.2), arrange for their offsite storage (Section 4.2.3) or examine options for their conversion to digital format (Section 5).

#### 4.2. Retain

All records required to be retained will be registered to RAMS by Records & Archives staff to enable their retrieval if required, and to document the result of the completed appraisal process.

'Retain' advice can result in the following outcomes:

##### 4.2.1. Archives

Records that are identified as being Archival are required to be retained permanently by the University. The University Archives will arrange with the business unit for their transfer to the custodianship of the archives when they are no longer required as active records. They will remain accessible to the business unit. For further information, please refer to the Archives Acquisition Guideline.

##### 4.2.2. Retain in Unit

Records that have not reached their minimum required retention period, or are subject to the exceptions identified in Section 4.1, may be securely stored within the business unit until such time as their destruction is appropriate.

The appraisal form will be returned to the business unit with 'Retain: [Date] authorisation' advice, the date being that at which the records may legally be destroyed without further authorisation. The returned form should be retained as evidence of the completed process and reference copies of the appraisal form (marked as such) attached to the container of the records.

##### 4.2.3. Offsite Storage

Those records still required to be retained for a period of time, may be stored offsite at the cost of the business unit until such time as their destruction is appropriate. The approved supplier of offsite storage for the University can provide for their storage, retrieval when necessary, and their timely destruction in line with the approved date and the business owner's consent.

The appraisal form will be returned to the business unit with 'Retain: [Date] authorisation' advice and guidance provided on the offsite storage process.

### 5. Scanning

Where records are required to be retained for an additional period of time, or where a business unit has a business need to retain records that have been authorised for destruction, it may be possible to convert hardcopy records to digital format.

It should be emphasised that scanning a record does not address its appraisal requirements. The *State Records Act 1998* (NSW) does not recognise the format of a record; it has no bearing on the period of time for which it may be kept.

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](mailto: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.

<b>Accountabilities</b>	
<b>Responsible Officer</b>	Manager, Records & Archives
<b>Contact Officer</b>	<a href="#">Information Management Analyst, Records &amp; Archives</a>
<b>Supporting Information</b>	
<b>Legislative Compliance</b>	<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>

<b>Parent Document (Policy)</b>	<a href="#">Recordkeeping Policy</a> <a href="#">Recordkeeping Standard</a>			
<b>Supporting Documents</b>	Record Security Guideline Record Titling Guideline Archives Access Guideline Archives Acquisition Guideline			
<b>Related Documents</b>	Data Governance Policy Email Policy IT Security Policy Procurement Policy			
<b>Superseded Documents</b>	Nil			
<b>File Number</b>	2017/25742			
<b>Definitions and Acronyms</b>				
<b>Archive</b>	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.)			
<b>Business Owner</b>	The administrative unit responsible for the creation and management of records documenting their activities.			
<b>Disposal</b>	The removal of records from an active recordkeeping system for destruction or deletion, or for their preservation in an archive.			
<b>Record</b>	Any recorded information made or received by a staff member of the university in the course of undertaking their duties. Records are evidence or information about university activities. They can be any format.			
<b>RAMS</b>	Records & Archives Management System. The University's corporate recordkeeping system, previously known as TRIM.			
<b>Revision History</b>				
<b>Version</b>	<b>Approved by</b>	<b>Approval date</b>	<b>Effective date</b>	<b>Sections modified</b>
1.0	Manager, Records & Archives	13 December 2017	13 December 2017	This is a new procedure

# Appendix 1: Record Appraisal Workflow

