

Records Management Policy

Version 2.0
September 2024

1 Purpose and Scope

This policy ensures NSW SES fulfils its records management requirements as a State government agency under the *State Records Act 1998*. It is committed to the practices set out in the *Australian Standard for Records Management, AS ISO 15489-2002*.

NSW SES manages records to:

- achieve efficient and effective business outcomes
- provide evidence of compliance, by NSW SES and its members, with legislative requirements
- mitigate risks to NSW SES, its members and stakeholders
- facilitate accountability in the exercise of authority
- comply with legislative, regulatory and policy obligations.

Strategic records management:

- recognises the importance of records management to the agency, the Government and the state
- creates, manages, maintains and stores records properly
- enables people to access the information when they need it
- destroys or transfers information to State Records when it is no longer needed for business
- supports business outcomes

The *Records Management Policy* (this 'policy') provides guidance to NSW SES members to support decision making on recordkeeping and records management.

This policy should be read in conjunction with the *Records Management Guideline*.

This policy applies to all members and compliance is mandatory.

2 Legislation requirements

Under the NSW State Records Act 1998, public offices must:

- Keep full and accurate records of all business activities
- Secure and protect records from unauthorised access, alteration or deletion
- Dispose of records legally and appropriately

Records must be retained for the minimum retention period as outlined in relevant General/Functional Disposal Authorities.

3 Policy principles for the management of NSW SES records

- 1) Where reasonable and practicable, records should be created, stored, and maintained in digital form
- 2) Records must be maintained in an approved recordkeeping system
- 3) Records must be accessible to all staff, except where required by legislation or policy
- 4) Records may only be disclosed in accordance with legislation and policy
- 5) Records may only be disposed of in accordance with the *State Records Act 1998* (NSW)

4 Roles and Responsibilities

Commissioner – is accountable for the implementation of this policy, assigns the role of Senior Responsible Officer

Strategic Leadership Team (SLT) – provides direction and support for records management and reflects the Commissioner's responsibility to ensure compliance with the *State Records Act 1998 s.10*

Senior Responsible Officer (SRO) – responsible for the oversight of records management

Records management staff – responsible for the development and implementation of records strategies

Business owners and business units – ensure that records management is integrated into work processes, systems and services

All members and contractors – recordkeeping responsibilities including the requirement to make and keep records

5 Related Documents

5.1 Legislation

This policy is supported by the following legislative framework:

- *State Records Act 1998 (NSW)*
- *State Records Regulation 2015 (NSW)*
- *Museums of History Act 2022 (NSW)*
- *State Emergency Service Act 1989 (NSW)*
- *Privacy and Personal Information Protection Act 1998 (NSW)*
- *Government Information Public Access Act 2009 (NSW)*
- *NSW State Archives and Records: Standard on records management*
- *NSW State Archives and Records: Standard on the physical storage of State records*
- *NSW State Archives and Records: Code of best practice AS ISO 15489.1: 2017*
- *State Emergency Records Functional Disposal Authority (FA359)*
- *General Administrative Records Disposal Authority (GA28)*
- *NSW Cyber Security Strategy*

5.2 Policy

This policy is supported by the following NSW SES policy documents:

- *NSW Cyber Security Policy*
- *Code of Conduct and Ethics (NSW SES)*
- *Records Management Guideline (NSW SES)*
- *Internal Grievances - Policy (NSW SES)*
- *Social Media Policy (NSW SES)*
- *Information Security Policy (NSW SES)*

6 Support and Advice

You can get advice and support about anything in this policy from:

- your Manager or Zone Commander
- the Policy Owner – Senior Manager Operational Systems
- the Policy Sponsor – Director, Information & Communications Technology
- by asking your question in the Ask a records question template in Service Desk

7 Definitions

Term	Definition
must/required/shall	Indicates a mandatory action required to be complied with
should	Indicates a recommended action to be followed unless there are sound reasons for taking an alternative course of action
may	Indicates there are other acceptable options of similar or equal application
approved recordkeeping system	An approved recordkeeping system is one in which records may be maintained based on business processes or requirements. These are listed in the <i>Records management policy guideline</i> . The records management system used by NSW SES is OpenText Content Manager
digital record	A digital record is digital information, captured at a specific point in time that is kept as evidence of business activity. Digital record means 'born' digital records such as emails, PDFs, documents, spreadsheets, presentations, web pages, digital photographs, digital audio files, GIS files or database records, as well as scanned versions of paper records that have been digitised in business processes.
dispose of	means dispose of by destruction or by any other means, including transfer to Museums of History
record	This document uses the term 'record' as a shorthand reference for a current State record. "State record means a record made or received by a person, (a) in the course of exercising official functions in a public office, Or (b) for a purpose of a public office, or (c) for the use of a public office (<i>State Records Act 1998 s.3</i>) "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" (<i>State Records Act 1998 s.3</i>) Records are artefacts – documents in the broadest sense of the term – that provide evidence of business activities and transactions.
recordkeeping	Making and maintaining complete, accurate and reliable evidence of business and operational transactions in the form of recorded information.

Term	Definition
records management	Records management is the field of management responsible for the efficient and systematic control of the creation, receipt, maintenance, use and disposition of records, including processes for capturing and maintaining evidence of and information about business activities and transactions in the form of records.
Senior Responsible Officer (SRO)	The individual within the organisation who has been assigned strategic and managerial responsibility for records and information management. The SRO is responsible for ensuring that records and information management is in place and operating effectively to support business operations and is usually a senior manager reporting to the head of the organisation or to the Chief Information Officer.
unclassified	Where a record does not contain security classified information it is unclassified

Document Control Sheet

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Directorate	Information & Communications Technology
Policy Owner	Senior Manager Operational Systems
Policy Sponsor	Director, Information & Communications Technology
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2.0	10/09/2024	ICT	Minor Review

Approval

Title		Date	Version signed off
Senior Manager Operational Systems	Policy Owner	04/07/2024	2.0
Director, Information & Communications Technology	Policy Sponsor	12/09/2024	2.0
Deputy Commissioner, Corporate Services	Deputy Commissioner	12/09/2024	2.0