

Records Management Policy

Approved by: Director, Governance and Corporate Compliance

Content Manager Number: DOC22/21660

Approval Date: 17 January 2023

Review Date: 30 June 2025

1. Purpose

The Records Management Policy (Policy) outlines the principles and responsibilities for records management in TAFE NSW.

2. Scope

This Policy applies to:

- all TAFE NSW employees, consultants, contractors and the TAFE Commission (senior executives) Staff Agency employees; and
- all business applications used to create, manage and store records, including email, websites, social media applications, databases and business information systems.

The Policy covers all records, irrespective of format (including documents, email, voice messages, memoranda, minutes, audio-visual materials and business system data), that are created, collected, processed, used, maintained, stored and disposed of in the conduct of TAFE NSW's official business processes.

3. Policy

The State Records Act 1998 (NSW) is designed to ensure effective management (efficiency, accountability and protection) of Government records throughout their existence and mandates record management obligations on NSW Government entities.

3.1 Senior Responsible Officer (SRO)

The SRO is the Chief Operating Officer, who is responsible for the oversight of records management for TAFE NSW.

3.2 Records Management Commitments and Principles

- a. TAFE NSW is committed to compliant records management to ensure business continuity, capture intellectual property and continuous improvement. Good records management facilitates TAFE NSW's strategic priorities and business operations.
- b. TAFE NSW will adopt the following principles in its records management.

- a. Records must:
 - i. be made to document and facilitate the transaction of TAFE NSW's business activities and captured in corporate business information systems.
 - ii. accurately reflect what was transacted, done, decided or communicated.
 - iii. be authentic: Records should be what they claim to be.
 - iv. have integrity: Records should be securely maintained to prevent unauthorised access, destruction, alteration or removal. Records must be retained for as long as they are needed.
 - v. be useable: Records must be understandable, complete, accessible and available through time when needed. A record must contain not only the content but also the structural and contextual information necessary to document a transaction.
- b. Records which are of continuing or enduring value should be identified with recommendation on which of those records should be kept as State archives.
- c. Digital records that need to be kept as evidence of business activity must be electronically captured systematically in an approved format and managed in the corporate record keeping system(s).
- d. Disposal of records must be appropriately authorised and in accordance with TAFE NSW Records Disposal Procedure.

3.2 Records Management practice

TAFE NSW will adopt the following practices in line with the records management principles.

- a. TAFE NSW will resource and monitor a records management program.
- b. Digitisation of TAFE NSW paper records will comply with the published [Digital Records Preservation Policy](#) by the [State Records Authority \(SRA\) NSW, \(State Records NSW\)](#) requirements.
- c. The TAFE NSW will implement a monitoring and review program for records management assurance.
- d. Business information systems must be assessed against SRA's metadata standards and the record keeping requirements of [State Records NSW](#).
- e. Systematic disposal of information and records will be undertaken in accordance with TAFE NSW's recordkeeping procedures.
- f. TAFE NSW will utilise the [General Retention and Disposal Authorities and the Records Retention and Disposal Authorities by public office](#) issued by SRA to sentence its records.

- g. The decommissioning of business applications will be assessed against the relevant retention and disposal authority requirements for the records held in that system.
- h. Destruction certificates will be created and maintained on all records that are disposed of by destruction.
- i. TAFE NSW will maintain those records identified as State Archives and will transfer those records no longer in use in accordance with SRA requirements.
- j. TAFE NSW will identify systems that hold high risk and/or high value records and any risks to the records must be identified, managed and mitigated.
- k. TAFE NSW will cooperate and liaise with SRA in relation to monitoring compliance.
- l. TAFE NSW's Access Directions for sensitive records and information will be developed in accordance with NSW Government legislation and policy.
- m. Any cloud computing service that involves the creation, management, access or storage of management information and records will be assessed against the [NSW Governance Cloud Policy](#) and the [State Records Act 1998 \(NSW\)](#).

4. Responsibilities

Position	Responsibility
Chief Operating Officer	The Approver for this Policy and is the Senior Responsible Officer for records management within TAFE NSW.
TAFE NSW employees, consultants, contractors and the TAFE Commission (senior executives) Staff Agency employees	Responsible for: 1. complying with this Policy and all other records management Ways of Working; 2. creating full and accurate records of activities and business decisions; 3. using the corporate recordkeeping system or approved, compliant business systems and applications to capture and manage records; 4. sharing and reusing records to support collaboration, knowledge transfer and consistent decision-making; 5. protecting and safeguarding records from unauthorised access, or accidental or deliberate loss or damage; 6. complying with all relevant legislation, standards and other mandatory requirements relating to records and information management; 7. applying only approved records retention and disposal authorities and procedures to preserve and dispose of records and information; and 8. ensuring only proper use is made of any official information in the course of conducting TAFE NSW business.

5. Definitions

Term	Definition
<u>Records</u>	Any document, data or 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 that is evidence of or captures business activities and transactions. Records must convey an understanding of facts and assumptions relating to a business decision or transaction and must be complete (which means they comprise contextual and structural data as well as content data).
<u>Records management</u>	The discipline and organisational function of managing records to meet operational business needs, accountability requirements and community expectations. This work includes a range of activities (creation, capture, maintenance, use through to eventual disposal, planning, directing, organising, training) to ensure appropriate and trustworthy records in any format and generated by any process are available to the organisation.

Term	Definition
Record keeping	The process of making and maintaining complete, accurate and reliable evidence of business transactions in the form of recorded information.

6. Related documents

This policy should be read in conjunction with the following related documents:

- [State Records Act 1998](#)
- [Government Information \(Public Access\) Act 2009 \(NSW\)](#)
- [Health Records and Information Privacy Act 2002 \(NSW\)](#)
- [Privacy and Personal Information Protection Act 1998 \(NSW\)](#)
- [NSW Cyber Security Policy](#)
- [DCS-2020-07 NSW Government Information Classification, Labelling and Handling Guidelines](#)
- [SRA's Guidance and Resources](#)

7. Contacts

Accountable Officer	Chief Information Officer
Responsible Officer	Associate Director Digital Solutions Governance

8. Document History

No	Effective	Approved by	Amendment
1	1 April 2018	Chief Operating Officer	New Policy created
2	30 June 2022	Chief Operating Officer	Minor revisions to streamline and update SRO
2.1	17 January 2023	Director, Governance & Corporate Compliance	Updated the name of State Archives and Records Authority (SARA) to State Records Authority (SRA) NSW , (State Records NSW) and other related documents and links.

Note: (17 March 2026) Accountable and Responsible Officer roles have been updated since publication, as part of an automated update associated with recent operating model changes. These updates reflect position title or organisational alignment changes only and will be captured in the version history when the document is next reviewed and published.