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NSW



Records Management Policy

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Relevant References:	<ul style="list-style-type: none"> ➤ State Records Act 1998 ➤ AS ISO 15489 – 2002 Records Management Standard ➤ Electronic Transactions Act NSW - 2002 ➤ State Records - Guidelines on Normal Administrative Practice (NAP) revised 2005 ➤ <i>Information Management - Records - Procedures – Guide to TRIM & Recordkeeping Manual Trim Ref E07/07551</i> ➤ <i>INFORMATION MANAGEMENT - CONTROL - Documenting the digitisation of hardcopy records Trim Ref E07/13415</i> ➤ <i>INFORMATION MANAGEMENT - RECORDS - Disposal - Sentencing procedures - August 2007 Trim Ref E07/19125</i> ➤ <i>INFORMATION MANAGEMENT - TRIM Logins - User Permissions - List of access control settings TRIM Ref E08/07951</i>
Main Legislative Implications:	<ul style="list-style-type: none"> ➤ State Records Act 1998 ➤ Electronic Transactions Act NSW 2002 ➤ Privacy Act 1988 ➤ Health Information Privacy Act 2002
Related Cancer Institute NSW Policy	<ul style="list-style-type: none"> ➤ Information Technology “EMAIL” Policy and Guidelines Trim Ref E07/04844

Cancer Institute NSW

Record Management Policy

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1 INTRODUCTION

The purpose of this policy is to ensure the creation and maintenance of records with appropriate evidential characteristics within Cancer Institute NSW by establishing a framework and accountabilities for records management.

2 POLICY STATEMENT

The Cancer Institute NSW is committed to meeting its responsibilities under the *State Records Act 1998* and to implementing best practice in its records management practices and systems. All practices and procedures concerning records management within the Cancer Institute NSW are to be in accordance with this document.

Our organisation's records are our corporate memory, providing evidence of actions and decisions and representing a vital asset to support our daily functions and operations. They support policy formation and managerial decision-making, protect the interests of the Cancer Institute NSW and of the Government and the rights of employees, clients and citizens, and help us deliver our services in consistent and equitable ways. They help the Cancer Institute NSW to make good use of precedents and of organisational experience. They support consistency, continuity, efficiency and productivity in program delivery, management and administration. Those that are to be kept as State archives form part of the cultural resources of the State.

3 PRACTICE AND PROCEDURES

3.1 RECORDS MANAGEMENT PROGRAM

As required by Section 12(2) of the State Records Act, the Cancer Institute NSW maintains a records management program.

The objectives to be achieved through the program are that:

- The Cancer Institute NSW has the records it needs to support ongoing business activity and customer services, meeting accountability requirements and community expectations
- That the records are maintained in formats that ensure long-term preservation and access.
- These records are to be available for the use of all staff where practicable.
- The Cancer Institute NSW complies with all external requirements concerning its records and records management practices.

The records management program is to be managed by the Chief Operating Officer. The strategic plan for the program is to be developed by the Project Officer, Records Management under the Supervision of the Chief Operating Officer.

Performance indicators for the program are to be developed and reviewed regularly. Regular monitoring of the records management program is to be undertaken with results being reported to the Executive. These are undertaken by the Project Officer, Records Management.

3.2 RECORDS MANAGEMENT SYSTEM

The Cancer Institute NSW records management system integrates the management of paper and electronic records using TRIM. When permissible under State regulations, the existing paper based corporate file system is being transferred to complete Electronic Document Record Management Service (EDRMS).

The Information Technology department operates and maintains the TRIM records management application, and provides services associated with the system.

The records management program is administrated, developed and coordinated by the Project Officer, Records Management. The project officer is responsible for the recordkeeping documentation, including the user manual and records and TRIM training.

The Chief Operating Officer is responsible for the program and associated compliance.

3.3 SERVICES

The following services are available to staff in relation to the records management system. (Refer to section 4, Accountabilities):

- File creation and closing of records
- Record sharing and access control, where appropriate
- Electronic action tracking for document management
- Electronic access, via the corporate network

Details on these services are in the user guidelines.

3.4 RULES

Staff are to observe the following rules associated with the records management system:

- All staff are to use the records management system (TRIM) to document all substantive official business, unless using an authorised specific purpose recordkeeping system e.g. Registries. Staff are not to maintain individual or separate files or recordkeeping systems or unmanaged electronic records.
- All formal documents generated within Cancer Institute NSW, including outwards correspondence, should bear a file reference number.
- Only authorised staff may close files or parts or create new files or parts.
- The location of every file should be accurate and up to date in TRIM at all times. Staff are responsible for recording location changes when passing a file to another staff member, either by recording it in TRIM or by notifying the Project Officer Records Management.
- Electronic Documentation is the preferred medium for Cancer Institute NSW records. Where paper files are used, they are a transitional format for external correspondence prior to scanning in accordance with the Cancer Institute NSW digitisation procedure.
- Files should not leave the Cancer Institute NSW premises, apart from exceptional circumstances. If possible, a photocopy of relevant documents should be taken to meetings etc. outside our premises.

- Under no circumstances should staff take files home. If it is necessary to work on a file at home, a photocopy of relevant documents should be used.

3.5 DISPOSING OF RECORDS

The Cancer Institute NSW has developed a function-based Records Disposal Authority approved under s. 21(2) of the State Records Act. The Cancer Institute NSW will implement a program of regular sentencing (determination of a record's status).

Digitisation of paper records will occur in accordance with the State Records Disposal Authority 24) and transfer using this authority and the General Disposal Authorities. Refer to *Guide to TRIM & Recordkeeping Manual Trim Ref E07/07551*.

Staff are to use the *Guide to TRIM & Recordkeeping Manual – Appendices A & B* (Trim Ref: E07/07551) for guidance on the disposal of drafts, working papers, copies, messages etc.

As detailed in the above procedures, sentencing, disposal and digitisation is overseen and authorized by the Project Officer and is signed off by the Chief Operating Officer.

3.5 ELECTRONIC RECORDKEEPING

In accordance with the Premier's Memorandum 2009-11 NSW Standard on Digital Recordkeeping, the Cancer Institute NSW policy is to capture and maintain electronic records in electronic form. As an initial step, the Cancer Institute NSW has implemented the capture and management of electronic messages and documents as records, and will be integrating the management of paper and electronic records, using the records management system (TRIM).

The Cancer Institute NSW has implemented electronic recordkeeping strategies and systems as necessary to meet those requirements using the 'DIRKS' (Designing and Implementing Recordkeeping Systems) methodology. Meanwhile, the Cancer Institute NSW operational and support programs are to ensure that adequate records to meet known recordkeeping requirements are created and kept of transactions carried out using those systems. All electronic documents created on behalf of the Cancer Institute NSW are to be registered and saved on the records management system (TRIM).

4 ACCOUNTABILITIES

4.1 CHIEF EXECUTIVE OFFICER

As the Chief Executive Officer (CEO), the CEO has a duty under section 10 of the State Records Act to ensure that the Cancer Institute NSW complies with the requirements of the Act and regulations

4.2 CHIEF OPERATING OFFICER

The Chief Operating Officer (COO) is the senior manager responsible for the records management program and functions as the Cancer Institute NSW Corporate Records Manager for the purposes of the *Australian Standard on Records Management Programs (AS 15489 - 2002)*. The COO is accountable for ensuring the Cancer Institute NSW compliance with external recordkeeping standards.

4.3 PROJECT OFFICER RECORDS MANAGEMENT

The Project Officer Records Management is accountable to the Information Technology Manager for the efficient daily operation of the records management system and the provision of services to agreed standards to file users.

4.4 RECORD KNOWLEDGE CHAMPIONS

Each unit of the Cancer Institute NSW, will have an officer who will act as Records Manager for that area. The Record Knowledge Champion will have received special training and have records manager access to TRIM. The Records Knowledge Champion is accountable to the Executive for ensuring that practices and systems in their programs comply with this policy and related requirements. They will advocate and promote best records practice collectively and within their area (For all current users in this role, refer to TRIM Ref: E08/07951).

4.5 ALL STAFF

All staff are accountable to their supervisors for compliance with this policy and with related policies, standards and guidance.

All staff have a responsibility to *create records* to document:

- decisions
- oral decisions and commitments, including telephone discussions
- meetings, and
- other events.

All staff have a responsibility to capture records into official recordkeeping systems, except records that can be disposed of under normal administrative practice (see *Guidelines on Normal Administrative Practice*). This guide is available through State Records at

<http://www.records.nsw.gov.au/recordkeeping/docs/normal%20administrative%20practice.pdf>

Staff are required to:

- capture electronic documents they create (outgoing correspondence, presentations, file notes, reports etc.) when they become records, by attaching them electronically to file in the records management system, in accordance with the user guidelines
- update revisions and version control
- capture email messages electronically into a file in the records management system, in accordance with the user guidelines, and
- capture paper based records, such as incoming correspondence, into the records management system by scanning them and attaching them to an electronic file, in accordance with the user guidelines.

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