

Policy: Records Management

Purpose

This document sets out how NSW Trustee & Guardian will manage records within the business centre. Compliance with this policy will ensure compliance with legislative provisions and best practice models for records management.

NSWTG recognises that records are a vital asset to:

- facilitate information accessibility, and enhance business by supporting program delivery, management and administration
- deliver customer services in an efficient, fair and equitable manner
- provide evidence of actions and decisions and precedents for future decision making
- protect the rights and interests of customers.

Policy statement

Full and Accurate Records

- Records must be made for all decisions and actions in the course of their work
- Records must be accurate
- Records must be objective and not subjective
- Records must be made in a timely manner
- Records must be authentic and created by the person appropriately responsible for the decision or action
- Records must have integrity, with version control and no unauthorised access, alteration or deletion
- Records must be useable, understandable, complete and available
- Records must contain sufficient information that they could be understood by persons other than the record maker

Storage of Records

- Physical records are stored in designated records storage locations
- Electronic records are stored within HPE Content Manager (TRIM)
- Electronic file notes in customer information systems are accountable records and cannot be deleted or amended

Management of Records

- Records Branch is responsible for HPE Content Manager (TRIM) maintenance
- Records are stored in environments appropriate for environmental conditions & security
- All movements of files and records are to be recorded in HPE Content Manager (TRIM)
- Access levels on records must be carefully considered

Disposal of Records

- Records Branch is responsible for records disposal
- Records are disposed of as per guidelines set out by State Records
- All disposals of records must be recorded in HPE Content Manager (TRIM)
- All disposals of records will be in line with an authorised Functional Retention and Disposal Authority

Scope

This policy applies to all staff of NSW Trustee & Guardian. It relates to the classification, recording, transmission, storage, handling and disposal of security material, information, data and documentation. The policy applies to all records, including electronic records, created, used and maintained by staff in the course of business of NSW Trustee & Guardian. This policy applies to records in all formats, including electronic records.

Legislative context

- [*\(Commonwealth\) Copyright Act 1968 & Amendment \(Digital Agenda\) Act 2000*](#)
- [*Evidence Act 1995*](#)
- [*Government Information \(Public Access\) Act 2009*](#)
- [*Government Sector Employment and Management Act 2013*](#)
- [*Health Records and Information Privacy Act 2002*](#)
- [*Privacy and Personal Information Protection Act 1998*](#)
- [*Public Finance and Audit Act, 1983*](#)
- [*State Records Act 1998*](#)

Related resources

- [*Model Code of Conduct for NSW Public Agencies*](#)
- [*NSW Standards on Records Management*](#)
- [*NSW Government Digital Information Security Policy*](#)
- [*NSW Treasurer's Directions*](#)
- [*Good Conduct and Administrative Practice: Guidelines for Public Authorities and Officials*](#) (NSW Ombudsman)
- [*Premier's Memoranda and Circulars*](#), including [*M1998-16*](#), [*C2003-17*](#), [*M2004-14*](#), [*M2007-04*](#), [*M2007-08*](#), [*M2009-11*](#), [*C2013-1*](#)

Definitions

The [*State Records Act 1998*](#) has been designed to support accountable government, to provide for electronic recordkeeping and to outline the requirements for records created by government and agencies. Under the State Records Act, “any records made or kept, or received and kept, by any person in the course of the exercise of official functions in a public office, or for any purpose of a public office, or the use of a public office...” are defined as “State records”.

The Act defines a ‘record’ as being “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”.

HPE CONTENT MANAGER (TRIM) means the records management computer application used by NSW TG to record the creation, movement, management and disposal of corporate and customer records.

Document information

Title:	Records Management Policy
Owner:	Records Manager
Approver:	Director Information Technology
Date of Effect:	24 July 2020