



Records Management Fundamentals for Senior Executives and Senior Responsible Officers

A State Records NSW awareness session

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NSW records regulatory regime

State Records Act 1998

- Establishes the State Records Authority NSW and Board
- Outlines the records management responsibilities of NSW Government organisations

State Records Regulation 2015

- Provides information on what constitutes normal administrative practice



Keep full and accurate records



Establish a records management program



Preserve and protect records



Ensure access of technology dependent records



Retain and destroy records as permitted



Transfer records required as State archives to Museums of History NSW

Obligation to protect records

State Records Act 1998:

s.11(1) Each public office must ensure the safe custody and proper preservation of the State records that it has control of

s.21(1) A person must not:

- (a) abandon or dispose of a State record, or
- (b) transfer or offer to transfer, or be a party to arrangements for the transfer of, the possession or ownership of a State record, or
- (c) take or send a State record out of NSW, or
- (d) damage or alter a State record, or
- (e) neglect a State record in a way that causes or is likely to cause damage to that record

Why records?

“The creation of detailed and accurate records and the exercise of good recordkeeping practices are important elements of good governance. They help promote consistency of practice, retention of organisational memory and institutional accountability. They also help institutions to maintain descriptions of their processes, decisions, activities and responses to critical incidents, providing a level of transparency and evidence of practices that can be relied on in the future.”

Excerpt from the Final Report of the Royal Commission into Institutional Responses to Child Sexual Abuse: Volume 8: Recordkeeping and information sharing p.38

Key benefits of good recordkeeping



What are records & State records?

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.

s.3(1) State Records Act 1998

State record means any record made or received by a person –

- in the course of exercising official functions in a public office, or
- for a purpose of a public office, or
- for the use of a public office

s.3(1) State Records Act 1998

Section 10 Chief executives to ensure compliance with the Act

The **chief executive** of each public office has a duty to ensure that the public office complies with the requirements of this Act and the regulations and that the requirements of this Act and the regulations with respect to State records that the public office is responsible for are complied with.

Section 12 Records management obligations

- (1) Each public office must make and keep full and accurate records of the activities of the office.
- (2) Each public office must establish and maintain a records management program for the public office in conformity with standards and codes of best practice

Records management obligations

Standard on records management



Principle 1

Organisations take responsibility for records and information management



Senior management responsibility

1.2 Records and information management is the responsibility of **senior management** who provide direction and support for records and information management



Senior Responsible Officer (SRO)

1.3 Corporate responsibility for the oversight of records and information management is allocated to a designated individual (Senior Responsible Officer).



Business Owners and business units responsibility

1.5 Responsibility for ensuring that records and information management is integrated into work processes, systems, and services is allocated to **business owners and business units.**

Individual recordkeeping obligations

Standard on records management

1.6 Staff and contractors understand the records management responsibilities of their role, the need to make and keep records, and are familiar with the relevant policies and procedures.



The records management program

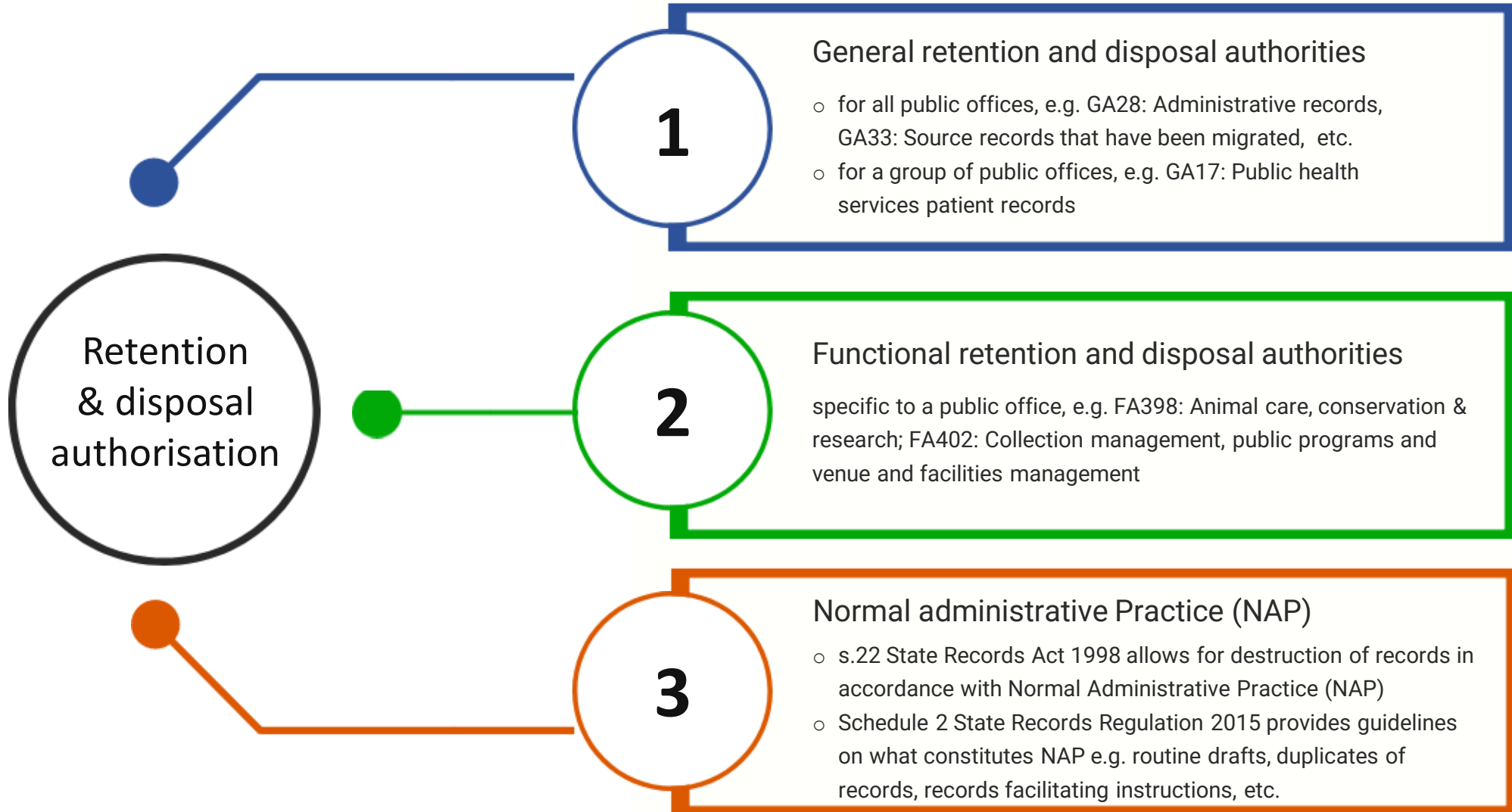
A complete records management program encompasses:

- people who create and use the records
- policies which assign responsibilities and establish procedures and practice
- documented procedures and practices
- the records themselves
- information and records systems
- software, hardware and other equipment.

Section 12 *State Records Act 1998*:

- (4) Each public office must make arrangements with the Authority for monitoring by the Authority of the public office's records management program and must report to the Authority, in accordance with arrangements made by the Authority, on the implementation of the public office's records management program
- (5) The Authority may issue a notice to a public office requiring the public office to:
 - Conduct an assessment of its recordkeeping processes and records management program
 - Provide the Authority with a report on the findings arising from the assessment
- (6) If the Authority is not satisfied with a report, or the findings of a report, the Authority may include information about this in the Authority's annual report.

Retention and disposal authorisation



For further information or advice

Email: govrec@staterecords.nsw.gov.au

<https://staterecords.nsw.gov.au>

Additional resources:

- [Senior Executive Fundamentals: Senior Executive Obligations – Records management / Public Service Commission](#)
- [Good conduct and administrative practice: Guidelines for state and local government / NSW Ombudsman](#)

