

CORPORATE RECORDS MANAGEMENT POLICY®

DOCUMENT SUMMARY/KEY POINTS

This policy should be read together with, [Records Management - Department of Health \(PD2009_057\)](#)¹ which sets out the scope, context and definitions common to our policies.

Sydney Children's Hospitals Network (SCHN) information is a corporate asset. It is vital for ongoing operations and providing valuable evidence of business decisions, activities, and transactions. This policy,

- o ensures that SCHN is committed to capturing accurate and reliable records of executive activities and decisions in compliance with NSW State legislation and standards.
- o provides guidelines for best practice in recordkeeping.
- o provides a framework and outlines responsibilities for the SCHN Corporate Records Management Program.
- o is in line with the whole of government policy and best practice standards on managing information as an asset.
- o applies only to Corporate Records and does not apply to patient/client health records governed by the Health Records and Information Privacy Act 2002⁸ and policies supporting this legislation.

Additional information

- o Refer to the SCHN Resources listed in [section 7.5](#)

This document reflects what is currently regarded as safe practice. However, as in any clinical situation, there may be factors which cannot be covered by a single set of guidelines. This document does not replace the need for the application of clinical judgement to each individual presentation.

Approved by:	SCHN Policy, Procedure and Guideline Committee	
Date Effective:	1 st November 2023	Review Period: 3 years
Team Leader:	Records Manager	Area/Dept: Corporate Records

CHANGE SUMMARY

- Updates to reflect changed administration of the State Records Act 1988² by Museums of History NSW and State Records NSW
- Inclusion of compliance monitoring for the Records Management Assessment Tool (RMAT)¹⁸
- Inclusion of amended Access Directions and default of Open Access (OPA) for records more than 20 years old. (From 1 January 2024)

READ ACKNOWLEDGEMENT

- All employees involved in creating or accessing corporate records must read and acknowledge this policy.
- Records Management training is required for all staff capturing records:

My Health Learning (HETI)

- [HETI](#) - Corporate Records Management (course code: 227079002)

State Records NSW Online Modules

All Staff

- [Recordkeeping concepts](#)
- [Recordkeeping and you](#)
- [Email Management - Module A](#)
- [Email Management - Module B](#)
- [Disposal](#)

Managers

- [Recordkeeping and you: supervisors and managers](#)

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1 Purpose

The purpose of the Corporate Records Management Policy is to ensure that full and accurate records of all activities and decisions of the Sydney Children's Hospitals Network (SCHN) are created, managed, and retained or disposed of appropriately, and in accordance with relevant legislation and recordkeeping standards.

- This policy enables the SCHN to achieve information accessibility, business enhancement and improvement. Good recordkeeping and compliance enable SCHN to meet its business needs, accountability and governance and protects the rights and interests of the Government, the organisation, its employees, clients, and the community^{13,14,15}.
- The benefit of complying with this policy will be trusted information that is well-described, stored in known locations and accessible to employees and clients when needed.
- A Records Management Program has been established by the SCHN in accordance with s.12 (2) of the State Records Act 1998. This policy provides a framework and outlines responsibilities for the SCHN's Records Management Program.
- With the [Ethical Framework](#)¹² in mind, all employees must comply with this policy in the conduct of official business created and received for the SCHN.
- This policy applies to records in all formats, including digital (electronic) records except records and documents contained in a patient/client health record and Workforce personnel records.

Complementary policies and additional guidelines and procedures support this policy and are located under [SCHN ePolicy](#) on the intranet.

Records captured prior to formation of the Sydney Children's Hospitals Network

Content Manager is an electronic document recordkeeping management system (EDRMS) installed at The Children's Hospital at Westmead prior to the formation of the SCHN Network. Content Manager holds electronic corporate records of The Children's Hospital at Westmead since 2008 and electronic corporate records created at The Sydney Children's Hospital, Randwick since 2010 when the SCHN was formed. Records relating to other entities forming the Sydney Children's Hospitals Network are located within their individual business units.

2 Definitions

Term	Definition
Access	Right, opportunity, means of finding, using, or retrieving information. <i>(AS ISO 15489.1, Clause 3.1)</i>
Access Direction	"An access direction is a direction that a series, group or class of records is open to public access after 30 years* or closed to public access for a longer period of time to protect sensitive information. ¹⁹ " <i>(Museums of History NSW)</i> <i>*NB Will change to default Open for Public Access (OPA) after 20 years on 1 January 2024</i>
Appraisal	The process of evaluating business activities to determine which records need to be captured and how long the records need to be kept, to meet business needs, the requirements of organisational accountability and community expectations
Archive	The records identified as having continuing value after their shelf life because of their legal, administrative, or historical value.
Capture	This is a deliberate action which results in a record being saved into a recordkeeping system and given a unique identifier. For certain business activities, this action may be designed into digital systems so that the capture of records is concurrent with the creation of records.
Classification	"Systematic identification and arrangement of business activities and/or records into categories according to logically structured conventions, methods and procedural rules." <i>(AS ISO 15489.1, Clause 3.5)</i>
Content Manager	Records management system. Version 9 of TRIM, the EDRMS.
Counter disaster plan	A plan for measures to be taken for disaster prevention, disaster response and recovery and the protection of vital records.
Document	"Document means any record of information, and includes: <ul style="list-style-type: none"> • anything on which there is writing, or • anything on which there are marks, figures, symbols or perforations having a meaning for the person qualified to interpret them, or • anything from which sounds, images or writings can be reproduced with or without the aid of anything else, or • a map, plan, drawing or photograph." <i>(Evidence Act 1995⁹, Part 1 Definitions)</i>
Disposal	"A range of processes associated with implementing appraisal decisions. These include the retention, deletion, or destruction of records in or from recordkeeping systems. They may also include the migration or transmission of records between recordkeeping systems, and the transfer of custody or ownership of records to another organisation." <i>(AS ISO 15489.1 Part 1, Clause 3.8⁵)</i>
Electronic record	Record where the information is communicated and maintained by means of electronic equipment.
EDRMS	Electronic Document Records Management System (EDRMS) is software designed to facilitate the creation, management, use, access, storage, and disposal of a range of both physical and digital documents and records. Content Manager (and all versions, TRIM, Record Manager, Content Manager) is an official recordkeeping system at SCHN.
Employee	For the purposes of this policy, 'Employee' is defined as any person working in a part-time, casual, or full-time capacity within the SCHN and the NSW public health system, including the Chief Executive, Directors, Managers, Supervisors and Team Leaders, as well as volunteers, work-experience personnel, contractors, trainees, and students.
File	Files are a physical collection of documents on a specific subject, located within a file cover, that show organisational activities through an identifiable sequence of transactions. Documents are arranged in chronological order with the most recent document on top.
Metadata	Recordkeeping metadata is data that describes the context, content and structure of records and their management through time. It refers to the record title, its classification, its current home and owner locations, date registered and the applicable retention schedule.
Record	"A record is any document or other source of information compiled, recorded, or stored in written form, on film, or through electronic means or in any other manner or by any other means" <i>(State Records Act 1998², Section 3(1))</i>

	"Information created, received, and maintained as evidence and as an asset by an organization or person, in pursuit of legal obligations or in the transaction of business." (AS ISO 15489.1 ⁵ Part 1, Clause 3.15)
Recordkeeping	Making and maintaining complete, accurate and reliable evidence of business transactions as recorded information. (AS 4390.1-1996 <i>Records Management, Clause 4.19</i>)
Recordkeeping requirements	"Requirements arising from regulatory sources, business needs and community expectations that identify the types of records that should be created, and the management framework needed to have accountability and manage all the business information that is necessary for an organisation" (AS <i>State Records NSW</i>)
Records management	"A 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" (AS <i>ISO 15489.1 2017⁵ Part 1, Clause 3.15</i>)
Records management program	A records management program encompasses the management framework, the people and the systems required within an organisation to manage full and accurate records over time. This includes the identification and protection of records with longer-term value that may be required as State archives. (AS <i>State Records NSW</i>)
Retention and Disposal Authority	"Documents authorised by the Board of State Records NSW that set out appropriate retention periods for classes of records. There are two main types: <ul style="list-style-type: none"> • Functional retention and disposal authorities authorise the retention and disposal of records unique to a specific organisation. • General retention and disposal authorities authorise the retention and disposal of records common to more than one organisation." (AS <i>State Records NSW</i>)
Security	Protection of information and data against threats or attacks.
Sensitivity	Where compromise of confidentiality may result in limited damage to an individual, organisation or government. (AS <i>NSW Government Information Classification, Labelling and Handling Guidelines</i>)
State Archive	A record where the ownership has been transferred to the State Records Authority of New South Wales under the State Records Act, 1998 ² (NSW) and is now housed at that authority.
Thesaurus	A controlled list of terms linked together by semantic, hierarchical, and associative or equivalence relationships. Act as a guide to allocate classification terms to individual records and provides sufficient entry points to allow users to navigate from terms which are not to be used to the preferred terminology adopted by the organisation.
TRIM	Total Records and Information Management referred to as TRIM is an EDRMS
User	For this policy, user or users refer to all employees, contractors and other personnel who, in the course of their work, have access to the EDRMS on behalf of SCHN and the NSW public health system.
Vital Record	Records that are essential for the ongoing business of an agency, and without which the agency could not continue to function effectively. The identification and protection of such records is a primary object of records management and counter disaster planning.

Additional recordkeeping definitions can be found on the State Records NSW website, Glossary of Recordkeeping terms:

<https://staterecords.nsw.gov.au/recordkeeping/guidance-and-resources/glossary-recordkeeping-terms>¹⁶ (accessed August 2023)

3 Roles and Responsibilities

Recordkeeping responsibilities

	State Records NSW	CE	Executive	SRO	Managers	Staff	SCHN Records Management	Information Services
Standards in NSW Records management	A R	C	I	I	I	I	I	I
SCHN Corporate Records Policy		I	C	A	C	I	R	C
Corporate Records system (CM)		I	C	A	C	I	R	C
Work area processes		I	C	I	A R	C	I	I
Creation and capture of records		I	I	I	A	R	C	I
Disposal of records		I	I	A	C	R	R	I

R	Responsible	Position who does the work to complete the task
A	Accountable	Position who delegates work and provides final approval
C	Consulted	Provide suggestions based on impact/ area of their expertise
I	Informed	Positions who need to be kept in the loop

All employees (as defined)

All employees are responsible for the capture and management of information as defined by this policy. All employees have recordkeeping responsibilities and obligations. For further information refer to State Records NSW advice. Additional responsibilities for certain employees are listed below:

Chief Executive

The Chief Executive (CE) has a duty under Section 10 of the State Records Act 1998 to promote and ensure organisational compliance with the requirements and regulations of the Act.

Senior Responsible Officer

The Senior Responsible Officer (SRO) is a senior manager reporting to the CE and is a position required by the State Records NSW to comply with the [Standard](#) on records management, (AS ISO 15489.1: 2017). The SRO oversees the Corporate Records at SCHN to ensure the organisation has the required policies, infrastructure, and resources to maintain effective records and information strategies and keep State Records NSW updated with any changes to personnel undertaking this role.

- Authorises the disposal of records in accordance with recognised procedures and standards.
- State Records NSW Checklist for the Senior Responsible Officer for records management - [Resources for Senior Responsible Officers](#)

Directors and Managers

Directors and managers are responsible for ensuring that records and information management is integrated into work processes, systems, and services within their business unit. This includes the visible support of and adherence to this policy by promoting a culture of compliant information management through the creation, capture, storage and monitoring of records by employees as part of normal business practice.

- Advising the Corporate Records Manager of any changes in the business environment that would impact on information management requirements, such as new employees, new positions and changed areas of business.

Managers should develop team specific rules to ensure:

- final records are saved in the EDRMS,
- confidential and sensitive records are managed appropriately, including cabinet documents, legal advice and records that are commercial-in-confidence,
- access, including for third parties, to documents and teams maintains the integrity of NSW Health information and confidentiality,
- Completing appropriate records management training for supervisors and managers and ensuring their team are adequately trained and are aware of their responsibilities.

[Recordkeeping and you: supervisors and managers](#)

Directors and managers also have the responsibility to ensure that risk identification, analysis and assessment are carried out on a regular basis and that cost effective methods are implemented to safeguard SCHN records and recordkeeping systems.

SCHN Executive Services

The SCHN Executive Services provide the following services in relation to records management:

Registering incoming mail to the Executive into the EDRMS and distributing to action officers;
and

- Registering outgoing mail from the Executive into the EDRMS.
- Capture all correspondence and other documentation created in response to incoming correspondence within their Directorate into the EDRMS.
- Update movement of documents within Executive and support units.
- Capture/scan signed correspondence back into the system.

Update record metadata when needed.

Corporate Records Manager

The Corporate Records Manager is responsible for the corporate records management program within the SCHN and acts as the Content Manager Administrator. This position:

- Maintains and administers the corporate recordkeeping system, Content Manager.
- Liaises with work areas to develop and maintain procedures around the capture and maintenance of records in the EDRMS.
- Provides advice, and training on record-keeping practices for the capture and maintenance of records in the EDRMS to system users.
- Advises on compliance with policies and procedures across the SCHN and makes recommendations for improvement or modification of practices.
- Advises on access controls and sensitivity and guidelines associated with the management of information.
- Reports risks associated with non-compliance to the SRO.
- Establishes and maintains customised recordkeeping business rules regarding metadata.
- Manages the records management software (Content Manager) and supervises any updates/changes to the system in partnership with SCHN Information Technology Services.
- Consults with SCHN IT for support and advice on technical issues.
- Recommends disposal of records to SRO in accordance with recognised procedures and standards.
- Coordinates a records management program.
- Maintains classification and retention and disposal authorities.
- Provides training for new users of Content Manager and provides refresher training opportunities.
- Provides training materials and guidelines.
- Keeps up to date with trends and guidelines in records management.
- Maintains up to date and accurate information on the corporate records electronic resource pages such as the intranet and learning.kids.

Employees with access to the EDRMS

In addition to mandatory requirements outlined in this policy, employees using the EDRMS must also:

- Routinely create full and accurate records of their business activities, decisions, and actions in keeping with their work area practices.
- Ensure that all official records are saved into the records management system.

- Ensure physical records are not removed from work areas or taken off-site without authorisation from the Corporate Records Manager or Executive responsible for the work area's records.

Information Services

Information Services will work with the employees responsible for corporate records and:

- Ensure the reliability, continuing operation of computerised systems that generate records and the development, implementation and monitoring of information technology disaster recovery plans for these systems.
- Provide support and infrastructure to ensure that records kept in electronic form are managed so that they are accessible, readable, inviolate, complete, comprehensive, and authentic for as long as required.
- Provide support for any issues that users have with the EDRMS that has been logged with IT Support.
- Implements information security measures.
- Performs routine and comprehensive system backups of data.
- Provides support and expertise in decommissioning systems and installing enhancements or upgrades to the recordkeeping system

4 Records as a source

The SCHN recognises that information is a corporate asset and records are vital 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, activities, transactions, decisions, and precedents for future decision making; and
- Protect the rights and interests of Government, SCHN, patients and community.

5 Corporate Records Management Program

5.1 Objectives of the Program

A records management program is a planned, coordinated set of policies, procedures, people, systems, and activities required to manage records.

The SCHN's Records Management Program seeks to ensure that:

- It has the records it needs to support and enhance ongoing business and customer service, meet accountability requirements and community expectations.
- These records are managed efficiently and can be easily accessed and used for as long as they are required.
- Records are stored as cost-effectively as possible and when no longer required they are disposed of in a timely and efficient manner.
- The SCHN complies with all legislative and state government standards as required concerning records and records management practices.
- Records of longer-term value are identified and protected for historical and other research.

A goal of particular note is that the organisation is committed, through its Corporate Records Management Program, to maintaining digital and other technology dependent records in authentic and accessible form for as long as they are required in accordance with s.14 of the State Records Act 1998².

See [Resources](#) and [References](#) for lists of legislation and Government directions and SCHN documents which affect recordkeeping.

5.2 Organisation and management of the Program

Administration and management of the program is the responsibility of the Corporate Records Manager, and delegated SCHN positions as appropriate.

The policy must be implemented in all branches within the Executive Services of the SCHN to support the requirements of this policy.

If Content Manager is rolled out to other Units within SCHN, they must also be aware of this policy agree to its principles and provide their work area with standards and conventions to capture their business unit's records.

Responsibilities of all employees, including Directors, include but are not limited to:

- Routinely creating accurate records of activities and decisions.
- Making sure records are captured in the recordkeeping system.
- Ensuring the integrity and safety of SCHN records.
- Ensuring the security of records accessed via mobile electronic devices are not compromised when accessed outside SCHN.

- Ensuring that physical records are not removed from the premises without the prior documented consent of an Executive responsible for the work area's records or the Corporate Records Manager.
- Protecting sensitive records from unauthorised access.
- Ensuring SCHN's records are not destroyed without appropriate authority.

Record management activities are subject to monitoring and audit activities^{4,10,17,18} to ensure ongoing compliance and sustainability.

All information created, received and maintained by SCHN employees in the course of organisational operations and activities are official records and are owned by The Sydney Children's Hospitals Network.

5.3 Elements of the Program

5.3.1 Creation and capture

The SCHN has endorsed the use of a number of standards, open-source file formats in IT procedures. These formats have been chosen to streamline the ongoing management of the SCHN records and should be the only formats used for the creation of records.

Employees should ensure they create official records of all decisions and actions made in the course of their official business. Official information created should provide a reliable and accurate account of business decisions and actions. Include all necessary information to support business needs, including names, dates and time, and other key information needed to capture the business context. For example, if significant organisational decisions are transacted by telephone, file notes of the key points in the conversation should be documented. Official meetings should include the taking of minutes.

To assist in the responsible creation of records and the capture of essential information SCHN has developed the following:

- Paper and electronic templates
- Definition of recordkeeping requirements and business rules as to what type of document/information is to be captured, e.g., all correspondence, emails, telephone conversations relating to business, etc.

All records defined by the organisation as important to create, should be captured into SCHN's EDRMS so they can be managed appropriately.

- **Records must be accurate**
 - All employees must ensure accurate records are made at the time of or as soon as practicable after the event or transaction to which they relate.
- **Records must be authentic**
 - All employees must ensure that records are routinely captured in the official recordkeeping systems and that appropriate metadata is created and captured or otherwise associated with records.

- **Records must have integrity**
 - All employees must safeguard records from unauthorised access, alteration, deletion, or destruction.
- **Records must be useable**
 - All employees must ensure that records are linked to the business context and that the location of records is recorded and tracked to ensure they are accessible for as long as they are required.

Responsibility rests with the creator of the records to ensure that the records are captured, managed, and maintained for as long as they are needed for business, legal requirements (including in accordance with current authorised records retention and disposal authorities), accountability and community expectations.

Records must be placed in an official folder known as a “container”. Containers are created using the thesaurus of SCHN’s Business Classification Scheme (BCS) and given a unique number. All official outgoing communications, including letters, faxes, emails, etc. should contain reference to the document record number, as prompted in the templates.

Where possible, all incoming paper correspondence the organisation receives should be scanned and saved into the EDRMS.

In limited situations, such as for contracts and shared service level agreements, paper files may need to be created. In these instances, create a reference in Content Manager and contact the Corporate Records Manager to store the physical record in the Central Registry.

Whenever new databases and automated systems are being designed, the Corporate Records Manager should be consulted to determine what records should be created and captured by the system and that recordkeeping rules and tools that need to be accommodated⁴.

ICT Collaboration platforms such as the Microsoft 365 apps and services are used for the creation, sharing, co-authoring and publishing of documents and are not recordkeeping systems (*NSW Health ICT Collaboration Platforms Guideline*²¹).

When units within SCHN request the introduction of Content Manager into their unit as their recordkeeping system for specific programs/projects, they are to review the business unit tools available on the SCHN intranet and consult the Corporate Records Manager when designing unit-specific recordkeeping guidelines. This ensures that recordkeeping standards are maintained, essential metadata is captured, and it is compliant with legislative requirements.

5.3.1 Storage

Current hardcopy documents should be retained within the business unit for a period determined by the unit after being scanned and captured into the EDRMS, so that the scan is checked for authenticity and integrity, locatable, accessible and their movement can be tracked if needed before destroying in line with [retention schedule GA 45](#).

Older files belonging to an earlier recordkeeping system and are still in hard copy files will be destroyed, archived, or kept until their retention period has expired, and then destroyed or archived. They will remain in the Central File Registry (located at Westmead) until their expiration date.

Hard copy records held within an office, which are rarely used or are no longer in use for official purposes, are still required to be sentenced and may be retained in accordance with the current Retention and Disposal Authority. Once disposal activities have been completed, these should be forwarded to the Corporate Records Manager. An audit of files in an office within work areas should be undertaken regularly so that unused files are actioned in a timely manner.

Content Manager (and all versions, TRIM, Record Manager, Content Manager) is the official Corporate recordkeeping system.. No official records should be stored permanently in email folders, on local or network drives, Microsoft 365, USB flash drives, external hard drives, or any other temporary storage device as these lack the necessary functionality to protect business information over time. These devices can be used for short term storage but must be transferred to the EDRMS as soon as possible. These devices are not to be used for permanent storage of information.

Records of short-term value may be disposed of under a normal administrative practice (NAP). Records of long term or archival value should be retained online wherever possible and managed in accordance with any Records Management Procedures.

5.3.2 Maintenance and monitoring

Compliance with this policy will be monitored. Levels of compliance will be reported to the Senior Responsible Officer.

Each record's location must be recorded and updated at every movement of the record. This ensures that records, as assets, can be accounted for in the same way that the other assets of the SCHN are. Users should update the EDRMS of a new location when passing records on to another person/ individual.

The Corporate Records Manager is responsible for ensuring that records and environmental conditions are monitored regularly to protect both electronic and physical records. This will include checking temperature and humidity levels in dedicated records storage areas for paper records.

Maintenance of electronic records can also entail the migration of data. Migrations must be authorised by the Chief Executive and must produce authentic, complete, accessible, and usable records.

5.3.3 Access Controls

Records must be protected from unauthorised or unlawful access, destruction, loss, deletion, or alteration. As a valuable information resource records must be available to all authorised employees that require access to them for business purposes.

- Restrictions and markers can be applied to electronic records of a sensitive nature.
- Employees are required to ensure that all sensitive or confidential information in hardcopy or electronic form is secure in their work area at the end of the day and when they are expected to be gone for an extended period.

Sensitive hard copy files should be stored in a locked cupboard.

Computer workstations must be locked when the workspace is unoccupied.

All access to SCHN records by members of the public, including Government Information Public Access (GIPA) requests, will be made available in accordance with the NSW GIPA Act⁶, Freedom of Information Act, and Access Directions for those records transferred to State Archives.

From 1 January 2024, to support the NSW Government's Open Data Policy²³, any State record that is more than 20 years old will be open to public access (OPA) by default, unless a closed to public access (CPA) direction has been made. As the subject matter experts, business units hold the responsibility to ensure appropriate Access Directions are in place for their records.

5.3.4 Disposal

Disposal authorities are applied to records within a government agency to determine how long that record is to be retained. The SCHN uses a number of authorised General Retention and Disposal Authority and Functional Retention and Disposal Authorities²² relating to public health services which cover its core functions and activities.

Administrative records common to all or many public offices such as financial and personnel records are covered under general retention and disposal authorities compiled by State Records NSW. The SCHN recommends that disposal actions are assigned to records in all formats on creation to ensure they are managed appropriately.

Any appraisal and sentencing of records must be supervised by the Corporate Records Manager. Authority to destroy records due for destruction must be in accordance with the State Records NSW Disposal Authorities. A detailed description must be given for each item/file listed as this will enable the Senior Responsible Officer to determine if destruction can be granted.

Any business unit within SCHN that is considering disposing of any records must contact the Corporate Records Manager to ensure that compliance is being adhered to.

The records listed cannot be disposed of until approval has been granted, you must keep the records until you receive notification that they can be destroyed.

5.3.5 Transfers

The SCHN has an on-site storage in the Classified File Registry for the storage of physical records that are infrequently used for business purposes but still need to be retained according to the Retention and Disposal Authority. The Corporate Records Manager is responsible for transferring these records to the facility.

Records required as State Archives in the Retention and Disposal Authorities will be transferred by the Corporate Records Manager to State Records NSW when no longer in use for official purposes.

All records submitted for transfer must include Access Directions.

5.3.6 Compliance Assessment

Monitoring of records and information governance programs is a shared responsibility. Directors and Managers should regularly monitor the management of records within their remit and assess the management of records against the obligations in the NSW State Records Act 1998. The [State Records NSW Records Management Assessment Tool \(RMAT\)](#) should be used to monitor compliance.

Formal reporting to State Records NSW commenced in April 2022 and from March 2023 formal assessment reports must be submitted to State Records Authority NSW annually.

As with the accreditation process, evidentiary documentation on the status and maturity of records management programs, within each hospital, service, or unit, will be required to support the annual records management assessment reporting.

6 Outcomes

- That the SCHN will fully comply with the State Records Act and regulations.
- That the operations of the recordkeeping system within SCHN follows guidelines and procedures as set out by State Records of NSW and is compliant with Australian and international standards.
- That all the SCHN employees are aware of their responsibilities relating to creating, capturing, and maintaining Corporate Records, and within other work units where Content Manager is used.
- Disposal of Corporate Records is undertaken by the Corporate Records Manager in accordance with authorised disposal authorities.
- Efficient record management practices are utilised by SCHN employees.
- All employees using Content Manager for recordkeeping, including new employees, are trained on how to use the recordkeeping system used at SCHN.

7 Resources

Note: These lists are is not exhaustive. It is the responsibility of managers to check legislation and government directions which govern their activities and ensure that records arising from these activities conform to recordkeeping requirements.

7.1 NSW Government

- Information and Privacy Commission – various resources for public sector agencies:
<https://www.ipc.nsw.gov.au/> (accessed August 2023)

7.2 State Records

- State Records NSW - Resources for the Public Health Sector:
<https://staterecords.nsw.gov.au/recordkeeping/guidance-and-resources/resources-the-public-health-sector>

7.3 General retention and disposal authorities

State Records NSW - Records retention and disposal authorities²²:

- [GA 28 - General retention and disposal authority: administrative records](#)

- [GDA 21 - General retention and disposal authority - Health Services, Public: Administrative Records](#)
- [GDA17 - General retention and disposal authority - Health Services, Public: Patient/Client records](#)
- [GA44 - General retention and disposal authority - Health Services: Statewide health services, quality assurance, reporting, education and training](#)
- [GA45 - General retention and disposal authority - Original or source records that have been copied](#)
- [GA48 - General retention and disposal authority – Source records that have been migrated](#)

7.4 NSW Health Resources

- [NSW Health M365 Learning - Rules about Government information:](#)
- <https://nswhealth.sharepoint.com/sites/EHNSW-O365LEARNHUB/SitePages/What-to-use-when-.aspx#rules-about-government-information> (accessed August 2023)

7.5 SCHN Resources

- SCHN Corporate Records Intranet:
<https://intranet.schn.health.nsw.gov.au/records-management> (accessed July 2023)
- SCHN Business Classification Scheme (BCS):
<https://intranet.schn.health.nsw.gov.au/files/attachments/6097/schn-business-classification-scheme-bcs.pdf> (accessed July 2023)
- SCHN ePolicies:
<http://webapps.schn.health.nsw.gov.au/epolicy/> (accessed July 2023)
- [Code of Conduct -2011-9004](#)
- [Work Health & Safety](#)
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