

## Sydney Opera House Policy

<b>Title:</b>	Records Management Policy		
<b>Policy Number:</b>	SOH137		
<b>Effective Date:</b>	5 June 2012	<b>Next Review:</b>	June 2014
<b>Authorisation:</b>	Chief Executive		
<b>Authorisation Date:</b>	5 June 2012		
<b>Superseded Policy:</b>	G3		
<b>Accountable Executive:</b>	Director, Venue Partners and Safety		
<b>Responsible Officer:</b>	Corporate Archivist		

### 1 PURPOSE

- 1.1 The Records Management Policy establishes a framework and accountabilities to ensure the creation, maintenance and disposal of state records within the Sydney Opera House Records Management Program.

### 2 SCOPE

- 2.1 This Policy covers records in all media, forms and formats. This includes paper-based and electronic formats, such as email, digital formats such as photographs and video files and, where applicable, social media (e.g. tweets, blogs, wikis and social networking).
- 2.2 This Policy applies to any person employed by Sydney Opera House or otherwise undertaking work that results in the creation of state records for or on behalf of Sydney Opera House.
- 2.3 This Policy should be read in conjunction with other corporate policies, procedures and guidelines which provide more detailed information in relation to specific recordkeeping issues. This includes:
- Information Systems and Security Policy
  - Records Management Procedures
  - Recordkeeping Guidelines

### 3 DEFINITIONS

- 3.1 See Attachment A – Definitions.

### 4 POLICY

- 4.1 Sydney Opera House recognises that records are a valuable asset of our business. They are our corporate memory, ensuring information and knowledge are captured and utilised to support the business's strategic and daily operations and for maintaining the State, National and World Heritage values.
- 4.2 All records will be managed in accordance with the State Records Act 1998 (NSW) and other legislation, policies, standards and other requirements issued by the NSW Government. Sydney Opera House is committed to ensuring that full and accurate records of all operations, outcomes and decisions are created, managed and retained or disposed of appropriately, securely and in a timely fashion. Records will be stored only in approved recordkeeping systems (approved systems do not include network drives and personal email archives).
- 4.3 Management of all records, regardless of format, is to be carried out in accordance with the Sydney Opera House Records Management Program. This Program is a planned,

co-ordinated set of policies, procedures, people, systems and activities required to manage records across Sydney Opera House.

- 4.4 Sydney Opera House will ensure records of continuing value and significance to the organisation and broader community are preserved. These records will be maintained as cultural resources through the timely transfer to the State Archives.

## 5 PRACTICES AND PROCEDURES

- 5.1 The creation, capture, protection, maintenance, storage and disposal of records is undertaken in accordance with the Sydney Opera House Records Management Program. Detailed procedures are outlined in the *Records Management Procedures*.
- 5.2 Email messages are subject to the same legal processes as all other documents and records of business activity, and must be managed in accordance with the Sydney Opera House Records Management Program. Creation and retention of emails is to be carried out in accordance with the Records Management Procedures and Information Systems and Security Policy.

## 6 ACCOUNTABILITIES

### 6.1 Staff

- Making and keeping records and compliance with the Records Management Policy and Procedures.
- Creating full and accurate records of their business activities, including records of all decisions and actions made in the course of their official business.
- Ensuring that all records are saved into approved recordkeeping systems – note network drives and personal email archives are not recordkeeping systems.
- Keeping records secure and not disposing of records without authority from the Corporate Archivist.

- 6.2 The Chief Executive Officer is accountable for ensuring that Sydney Opera House complies with the requirements of the State Records Act 1998 ('the Act') and the standards and requirements issued under the Act (section 10).

### 6.3 Director, Venue Partners and Safety

- Ensuring Sydney Opera House complies with s12 of the State Records Act 1998 in relation to its records management obligations.
- Represents records management interests on the Executive.
- Approves the direction of the Records Management Program.
- Ensures that the Records Management Program is adequately resourced.
- Reports to the State Records Authority on the Records Management Program (e.g. responds to records management surveys).

### 6.4 Chief Financial Officer

- Develops strategic and operational plans for corporate recordkeeping as part of the Information Systems planning process.
- Provides support and infrastructure to ensure that electronic records are managed so that they are accessible, readable, inviolate, complete, comprehensive, and authentic for as long as required.
- Ensures that information management policies and projects take into account the special nature of records.
- Develops counter disaster planning for electronic records, and maintains vital records lists

- Implements information security measures including routine and comprehensive system backups of data.
- Ensures migration of digital records or digital control records/metadata is conducted in accordance with the conditions specified in the General Retention and Disposal Authority – Source Records that have been migrated.

#### 6.5 Corporate Archivist

- Develops and reviews the Records Management Policy and Procedures in relation to all aspects of records management and ensures all Sydney Opera House employees are aware of recordkeeping responsibilities.
- Monitors compliance with the Records Management Policy and Procedures and makes recommendations for improvement or modification of practices.
- Advises the Director, Venue Partners and Safety on records management issues including, but not restricted to, appraisal, disposal and preservation.
- Designs and advises on recordkeeping systems, delivers records management training program and undertakes system administrator duties for the TRIM system.
- Develops, maintains and controls the use of records management tools such as corporate thesaurus and retention and disposal authorities.
- Authorises the disposal of records (upon management approval) and undertakes records management operations, including transfer, recall and disposal of records.
- Ensures the migration of digital records or digital control records/metadata is conducted in accordance with the conditions specified in the General Retention and Disposal Authority – Source Records that have been migrated (in liaison with information technology staff).

#### 6.6 Directors and Business Unit Managers

- Determine legislative requirements for records relating to their specific activities through consultation with the Corporate Archivist.
- Ensure that records are created and managed within their business unit in a way which complies with the Records Management Policy and Procedures.
- Ensure that staff undertake relevant training on how to create and manage records.
- Authorise the disposal of business unit records upon advice from the Corporate Archivist.
- Ensure contracts with service providers (including contractors and consultants creating state records under their direction) contain records management clauses in accordance with this Policy.

#### 6.7 All other persons creating state records

- Manage records that they create of behalf of Sydney Opera House according to the Sydney Opera House Records Management Policy and Procedures, as reflected in the terms of their contract.

## 7 REFERENCES

Refer to Attachment B for full list of references.

### APPROVED



Acting Chief Executive

Date: 5 June 2012

### Definitions

The definitions in this glossary have been compiled from the *State Records Authority Glossary of Recordkeeping Terms*. Sources of terms include Australian (AS) and international (ISO) standards on records management.

**Access** – right, opportunity, means of finding, using or retrieving information. *AS ISO 15489 Part 1 Clause 3.1.*

**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. *AS 4390 Part 1 Clause 4.3.*

**Approved recordkeeping systems** – business systems capable of capturing, maintaining and providing access to records over time. Systems for managing digital records must satisfy the minimum requirements for digital recordkeeping system functionality set out in the Standard on Digital Recordkeeping issued by State Records.

**Archives** – those records that are appraised as having continuing value. *AS 4390 Part 1 Clause 4.5.*

**Business activity** – umbrella term covering all the functions, processes, activities and transactions of an organisation and its employees. *AS 4390 Part 1 Clause 4.6.*

**Counter disaster plan** – a plan for measures to be taken for disaster prevention, disaster response and recovery and vital records protection.

**Digital record** – a digital record is digital information, captured at a specific point in time that is kept as evidence of business activity. Digital records means 'born digital' records such as emails, web pages, digital photographs, digital audio files, GIS files or database records, as well as scanned versions of paper records that have been digitised in business processes.

**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. *AS 4390 Part 1 Clause 4.9.*

**Electronic records** – records communicated and maintained by means of electronic equipment. *AS 4390 Part 1 Clause 4.13.*

**Evidence** – information that tends to prove a fact. Not limited to the legal sense of the term. Australian Standard *AS 4390-1996, Part 1. Clause 4.14.*

**Metadata** – data describing data and data systems. In records management, recordkeeping metadata is data that describes the context, content and structure of records and their management through time. *AS ISO 15489 Part 1 Clause 3.12.*

**Migration** – the process of moving records from one system to another, while maintaining the records' authenticity, integrity, reliability and useability.

**Preservation** – process and operations involved in ensuring the technical and intellectual survival of authentic records over time. *AS ISO 15489 Part 1 Clause 3.14.*

**Recordkeeping** – making and maintaining complete, accurate and reliable evidence of business transactions in the form of recorded information. *AS 4390-1996, Part 1.4.19.*

**Recordkeeping systems** – information systems which capture, maintain and provide access to records over time. *AS 4390-1996, Part 1. Clause 4.20.*

**Records** – information created, received, and maintained as evidence and information by an organisation or person, in pursuance of legal obligations or in the transaction of business. *AS ISO 15489 Part 1 Clause 3.15.*

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. State Records Act 1998 (NSW).

**Records management** – 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 ISO 15489 Part 1 Clause 3.16.*

**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.

**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:

- 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.

**State archive** – a State record that the State Records Authority of New South Wales has control of under the State Records Act, 1998 (NSW).

**State record** – in the context of this policy this means any record created, received or maintained by any person employed by the Sydney Opera House in the course of their work which relates to their official functions.

**Sydney Opera House** – refers to Sydney Opera House Trust (as a legal entity).

**Vital records** – those 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.

## **Legislative and government requirements for recordkeeping**

- State Records Act 1998 (NSW) – including standards and retention and disposal authorities issued under the Act
- Government Information (Public Access) Act 2009 (NSW)
- Privacy and Protection of Personal Information Act 1998 (NSW)
- Health Records and Information Privacy Act 2002 (NSW)
- Evidence Act 1995 (NSW)
- Public Sector Employment and Management Act 2002 (NSW)
- Public Finance and Audit Act 1983 (NSW)
- Copyright Act 1968 (Commonwealth)

### **OTHER REQUIREMENTS FOR RECORDKEEPING**

- Australian Standard AS ISO 15489-2003 *Records Management Part 1 & 2*: Standards Australia, Sydney
- NSW Public Sector Code of Conduct
- NSW Government Recordkeeping Manual
- NSW Treasurer's Directions
- NSW Department of Finance & Services Guide to Labelling Sensitive Information v1.2
- Office of Information Technology Information Management and Technology Blueprint and associated Memoranda and Guidelines
- Good Conduct and Administrative Practice: Guidelines for Public Authorities and Officials (NSW Ombudsman 2003)
- Premier's Memoranda and Circulars, including M1998-16, C2003-17, M2004-14, M2007-08
- State records standards:
  - Appraisal and disposal of State records
  - Counter disaster strategies for records and recordkeeping systems
  - Digital recordkeeping
  - Full and accurate records
  - Managing a records management program
  - Physical storage of State records
- Sydney Opera House Code of Conduct
- Sydney Opera House Functional Disposal Authority (FDA114)

**Version Control**

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