

UNSW Business Classification Scheme

About

University records at UNSW are organised using functional classification as defined by the UNSW Business Classification Scheme (BCS).

This document outlines the first- and second-level terms (functions and activities, respectively) for the BCS. By combining a function and an activity, we can define (classify) the business activity being recorded.



Version: 4.0.1

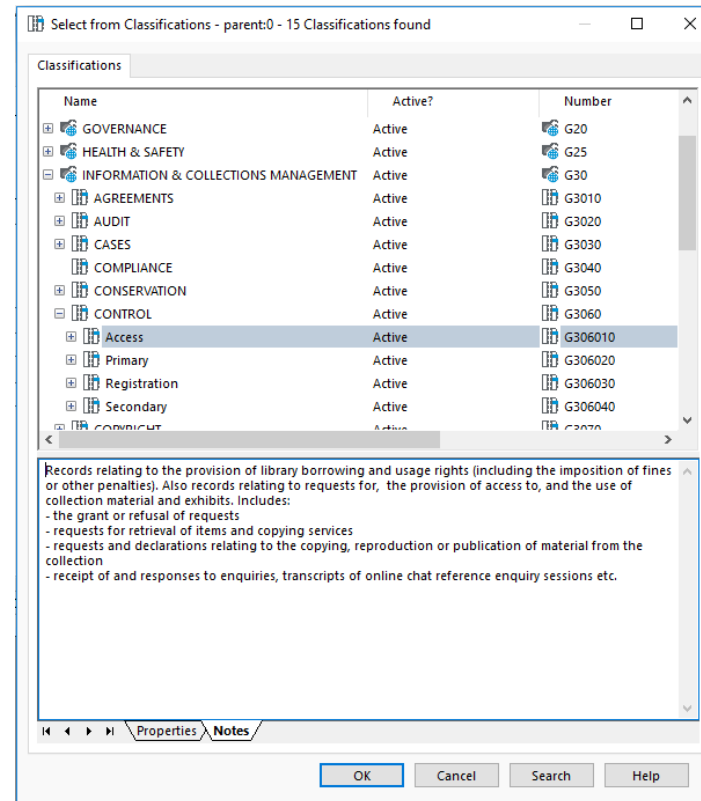
RAMS Reference: 2019/06776-003

Contents

About.....	1
RAMS.....	3
Common activities.....	4
Functions	6
COMMUNITY	6
EMPLOYEE RELATIONS	9
FINANCE.....	12
GOVERNANCE.....	16
HEALTH & SAFETY	19
INFORMATION & COLLECTIONS MANAGEMENT	21
LEGAL.....	24
PERSONNEL	26
PROPERTY.....	29
RESEARCH	37
STRATEGIC.....	39
STUDENT ADMINISTRATION.....	42
SUPPORT SERVICES.....	46
TEACHING.....	49
TECHNOLOGY	51

RAMS

The BCS is used in RAMS (the Records & Archives Management System) to classify record containers according to the type of information they contain. In RAMS, optional third-level terms (descriptors) are also included under some activities to enable more precise classification. Mandatory levels of classification for container creation are indicated with ALL CAPITALS, both in this document and in RAMS.



Classification search window in RAMS with notes displayed

Each classification term (function, activity or descriptor) has notes in RAMS to describe when that classification should be used.

Common activities

These eight business activities have been identified as common across all areas of the University. They are found in most (if not all) functional areas of this BCS.

Activity	Notes
AGREEMENTS	<p>Records relating to the establishment, negotiation, maintenance and review of agreements.</p> <p><i>See also PERSONNEL - (EMPLOYER) AGREEMENTS</i> <i>See also TECHNOLOGY - APPLICATION MANAGEMENT</i></p>
AUDIT	<p>Records relating to audits which examine or measure organisational performance or compliance.</p>
COMPLIANCE	<p>Records relating to initiatives at an organisation-wide or program-specific level to measure and improve the University's operations in order to be compliant with mandatory or optional standards.</p>
PLANNING	<p>Records relating to the development and review of the University's plans.</p> <p>Records include:</p> <ul style="list-style-type: none"> • background research • draft versions of plans containing significant changes/alterations or formally circulated for comment • notes of meetings or reports analysing issues and the outcomes of consultation with employees, unions, stakeholders, etc. <p><i>Not in GOVERNANCE; see STRATEGIC - PLANNING</i></p>
POLICY	<p>Records relating to the development and review of the University's policies.</p> <p>Records include:</p> <ul style="list-style-type: none"> • policy proposals • background research • records of consultations or meetings • draft versions of policies containing significant changes/alterations or formally circulated for comment • reports analysing issues and the outcomes of consultation with employees, unions, stakeholders, etc.

PROCEDURES	<p>Records relating to the development and review of the University's procedures.</p> <p>Records include:</p> <ul style="list-style-type: none"> • background research • draft versions of procedures containing significant changes/alterations or formally circulated for comment • reports analysing issues and the outcomes of consultation with employees, unions, other stakeholders, etc.
REPORTING	<p>Records relating to reports regarding programs and services.</p> <p>Records include:</p> <ul style="list-style-type: none"> • background research, e.g. collection of statistics • draft versions of reports containing significant changes/alterations or formally circulated for comment • final, approved versions of reports. <p><i>See [FUNCTION] - REPORTING for records relating to formal reports. Use STRATEGIC - REPORTING for local annual reports, and GOVERNANCE - REPORTING for annual reports of the University.</i></p>
REVIEWING	<p>Records relating to the review or evaluation of potential or existing programs and services.</p> <p>Records include:</p> <ul style="list-style-type: none"> • documents establishing the review • background research, e.g. client surveys • draft versions of review reports containing significant changes/alterations or formally circulated for comment • final versions of approved reports • project or action plans. <p><i>Not in GOVERNANCE; see STRATEGIC - REVIEWING</i></p>

Functions

This BCS contains fifteen business functions with sub-categories called activities. Each function and corresponding activity is outlined below, alongside some examples of the types of records that would belong under that classification.

COMMUNITY

The function of establishing rapport with the community and raising and maintaining the University's broad public profile.

Includes marketing, advertising, media liaison, exhibitions, celebrations, ceremonies, speeches, official representation at functions and participation in community activities.

Also includes relationships with alumni, professional organisations and industry, the management of customer services, handling reactions to those services, customer consultation and feedback.

Activity	Notes	Examples
AGREEMENTS		
AUDIT		
BRAND	The activity of compiling and administering guidelines on the consistency in written style, graphic design, etc. within the University's documents.	<ul style="list-style-type: none">• Stationery• Publications• Logos• Letterheads
COMPLIANCE		
DONATIONS	The activities associated with managing money, items, artefacts or property donated to the University, or by the University or its employees to charities, etc. Includes managing unsolicited donations and any offers that do not proceed.	
ENQUIRIES	The activities associated with the handling of requests for information about the University and its services by the general public or another organisation.	<ul style="list-style-type: none">• Customer service

EVENTS	<p>The activities associated with arranging and managing events and festivities, including celebrations, formal ceremonies and social functions, to honour a particular event, occasion or individual, or to conduct fundraising.</p> <p><i>See EXHIBITIONS for records relating to exhibitions.</i></p>	<ul style="list-style-type: none"> • Presentations of awards • Graduation ceremonies • Conferences • Addresses / speeches • Visits
LIAISON	<p>Records relating to interactions, including joint operations, collaboration and co-research, between the University and external organisations, professional associations and community groups, including alumni.</p> <p>Also includes records relating interactions between the University and employee social clubs, groups or activities, as well as suggestions from personnel.</p> <p><i>For complaints requiring investigation or specific responses, capture under the relevant FUNCTION - ACTIVITY.</i></p> <p><i>See STRATEGIC - COMPLIANCE for complaints containing allegation of abuse or neglect of children involving staff, contractors, volunteers, etc.</i></p>	<ul style="list-style-type: none"> • General correspondence • Suggestions • Public reaction to the University's policies or services • Informal advice and discussions • Membership of professional associations • Collaborations on projects • Employee social clubs, groups or activities • Alumni relations
MARKETING	<p>Records relating to campaigns or advertising to raise or maintain the University's public profile, to fundraise, or to advertise a particular service, product, program or event.</p> <p>Also includes records relating to internally directed campaigns.</p> <p><i>See INFORMATION & COLLECTIONS MANAGEMENT -EXHIBITIONS for records relating to exhibitions.</i></p>	<ul style="list-style-type: none"> • Market research • Sales forecasting • Advertising • Promotional materials • Promotional material pricing and product evaluation

MEDIA RELATIONS	<p>The activities associated with establishing a relationship between the media and the University.</p> <p><i>See FINANCE - ACQUISITION for records relating to the acquisition of services such as news cutting services.</i></p>	<ul style="list-style-type: none"> • Media contacts • Access to the media • Press releases • Briefings • Interviews
PLANNING		
POLICY		
PROCEDURES		
PUBLICATION	<p>The activities associated with publishing works, irrespective of format (including websites), issued for sale or general distribution, either internally or to the public.</p> <p>Also includes records relating to the distribution and dissemination of the University's publications.</p>	<ul style="list-style-type: none"> • Websites • Magazines • Newsletters • Podcasts • Audio-visual content
REPORTING		
REVIEWING		

EMPLOYEE RELATIONS

The function of establishing formal relations with the University's employees and their representatives to achieve a harmonious workplace. Includes negotiations conducted to obtain determinations, agreements or awards, industrial disputes settled internally or by an external arbiter, and reports of the state of industrial relations within the University.

See *PERSONNEL - Grievances* for records relating to employee grievances.

See *PERSONNEL - Misconduct* for records relating to disciplining employees.

Activity	Notes	Examples
ADVICE	Records relating to the provision of advice regarding employees, and the application and interpretation of enterprise agreements.	
(EMPLOYER) AGREEMENTS	<p>The processes associated with the establishment, negotiation, maintenance and review of agreements and awards.</p> <p>Includes enterprise agreements, standard agreements and certified agreements resulting from negotiation or bargaining.</p>	<ul style="list-style-type: none"> • Enterprise agreements
APPEALS	<p>The activities involved in the process of appealing against decisions by application to a higher authority.</p> <p><i>See PERSONNEL - Grievances</i> for records relating to employee grievances.</p> <p><i>See PERSONNEL - Misconduct</i> for records relating to disciplining employees.</p>	
AUDIT		
CHANGE MANAGEMENT	<p>Records relating to the review of existing structures and programs.</p> <p>Also includes the activities involved in varying, creating and abolishing individual positions.</p>	<ul style="list-style-type: none"> • Restructuring • Workplace change
COMMISSION / COURT HEARINGS	Records relating to employee relations matters resulting in commission or court hearings.	

COMPLAINTS	Records relating to the handling and resolution of employee grievances and complaints raised by representatives on behalf of employees that have unit-, organisational- or sector-wide impact.	
COMPLIANCE		
DISPUTES	<p>The process of handling any disagreement pertaining to awards, agreements, demarcation issues, breaches of injunctions, secret ballots, etc.</p> <p>Includes activities involved in dealing with a failure or refusal to attend or perform work such as lock-outs, strikes, etc.</p>	
INDUSTRIAL ACTION	Records relating to the management of industrial action.	<ul style="list-style-type: none"> • Lock-outs • Strikes
MEETINGS	Records relating to ad hoc meetings held regarding industrial relations issues.	<ul style="list-style-type: none"> • Meetings with unions
MISCONDUCT	Records relating to the management of instances or allegations of misconduct.	
PERFORMANCE MANAGEMENT	Records relating to the assessment, evaluation and review of an employee's performance.	<ul style="list-style-type: none"> • Performance assessments • Development plans • Performance counselling
PLANNING		
POLICY		

PROBATION	Records relating to the assessment, evaluation and review of an employee's performance while on probation.	<ul style="list-style-type: none"> • Performance agreements • Development plans • Performance counselling
PROCEDURES		
REPORTING		
REVIEWING		

FINANCE

The function of managing the University's financial resources. Includes establishing, operating and maintaining accounting system controls and procedures, financial planning, budgeting, obtaining grants and managing funds in the form of allocations from the Consolidated Fund and revenue from charging, trading and investments.

Also includes the monitoring and analysis of assets to assist the delivery of services.

Activity	Notes	Examples
ACCOUNTING	Records documenting the University's financial transactions.	<ul style="list-style-type: none"> • Revenue and expenditure • Debt recovery • Deposits • Bank accounts • Incidental employee benefits • Travel reimbursement • Travel expenses • Corporate credit cards • Borrowings, investments and loans • Tax
ACQUISITION	<p>The process of gaining ownership or use of equipment and stores required for the conduct of business through purchase or requisition.</p> <p>Includes tests, repairs, maintenance, inspections, commissioning or alteration.</p> <p><i>Use for all business functions where acquiring equipment, stores or services without the requirement for a tender or contract.</i></p>	
ADVICE	Records relating to advice regarding general financial management and accounting practices.	
AGREEMENTS		

RAMS Ref: 2019/06776-003

ALLOCATION	Records relating to the allocation of equipment and stores to organisational units or individuals for ongoing use.	<ul style="list-style-type: none"> • Equipment bookings
ASSETS	<p>Records relating to the inventory and stocktake of publications, equipment and stores.</p> <p>Includes examining, counting and valuing equipment and stores.</p>	<ul style="list-style-type: none"> • Stores inventories • Stock reconciliations • Stocktake reports • Valuations
AUDIT		
BUDGETING	The activities associated with planning the use of expected income and expenditure over a specified period.	<ul style="list-style-type: none"> • Budgets
COMMERCIAL ACTIVITIES	<p>Records relating to the management of commercial ventures and services, including a register of commercial activities.</p> <p>Also includes the provision of consultancies and other professional services.</p>	<ul style="list-style-type: none"> • Consultancy • Expert witness
COMPLIANCE		
CORRUPTION	<p>Records relating to specific instances of theft, fraud, misappropriation or negligence.</p> <p>Records include:</p> <ul style="list-style-type: none"> • reports of investigations • records documenting liaison with external authorities. 	<ul style="list-style-type: none"> • Fraud, theft, misappropriation and negligence • Irrecoverable revenue, debts and overpayments • Debt recovery • Waivering of debt • Write-offs • Deficiencies / losses
DISPOSAL	<p>Records relating to the disposal of equipment and stores through any means.</p> <p>Includes the loss or damage of equipment and stores.</p>	

FINANCIAL STATEMENTS	<p>Records relating to the preparation and review of financial statements and summaries.</p> <p>Records include:</p> <ul style="list-style-type: none"> • final, signed off statements • working papers and supporting documents needed to explain the methods by which financial statements are made up and adjustments to be made in preparing financial statements. 	<ul style="list-style-type: none"> • Annual asset / liability statements • Balance sheets • Profit and loss statements • Financial statements • Cash flow statements
GRANT FUNDING	<p>Records relating to the investigation of potential or alternative sources of grant funding, and the application for grants.</p> <p><i>See RESEARCH - GRANT ADMINISTRATION for records relating to research grants.</i></p>	
INSURANCE	<p>General insurance records.</p> <p><i>See CLAIMS for claims relating to personal injury.</i> <i>See PROPERTY - DAMAGE for claims relating to property damage.</i></p>	<ul style="list-style-type: none"> • Insurance renewals, premiums and policies • Insurance claims
LEASING	<p>The activities involved in leasing items of equipment or vehicles from another organisation, or to another organisation or person for a specified period and agreed price.</p> <p><i>See PROPERTY - LEASING for the leasing and leasing-out of property.</i></p>	<ul style="list-style-type: none"> • Equipment leases
PLANNING		
POLICY		
PROCEDURES		
REPORTING		
REVIEWING		

SALARIES	<p>Records supporting the payment of wages to employees.</p> <p>Records include forms and documents used to process and update information in payroll systems.</p>	<ul style="list-style-type: none"> • Pay slips • HR salary forms
TENDERING	<p>Records relating to the development, issue, evaluation and review of tenders.</p> <p>Records include:</p> <ul style="list-style-type: none"> • records of planning for the tender • minutes or notes of meetings • Statements of Requirements • draft contracts • records of the evaluation process and recommendations • final reports and public notices • records of post offer negotiations. <p>Also includes summary records created to facilitate the management of contracts or tenders.</p>	<ul style="list-style-type: none"> • Requests for Proposals (RFP) • Expressions of Interest (EOI) • Requests for Tender (RFT) • Contract registers • Tender registers
TREASURY	Records relating to operations, and individual appropriations, borrowings, investments and loans to other organisations or individuals.	
STRATEGIC	The strategic management of the University's funds.	

GOVERNANCE

The establishment and management of the University and [UNSW group companies](#).

Also includes administering the formal relationship between the University and those processes of government not covered by other functions.

Includes the University's liaison with bodies carrying out investigations and participating in formal inquiries and investigations such as Royal Commissions, and inquiries by Parliamentary Committees and the Ombudsman; and relationships with other Local, State, Commonwealth or overseas governments.

Activity	Notes	Examples
ADVICE	Records relating to the provision of advice to the portfolio Minister or other government organisations	
AGREEMENTS		
APPEALS	Records relating to an appeal made by a member of a governing body to a higher authority on decisions made with respect to the operation of the governing body. Includes appeals made by the organisation to the Administrative Decisions Tribunal for review of a decision made under health and safety legislation.	
AUDIT		
COMMITTEES	Records relating to committees. <i>See TEACHING - ASSESSMENT for assessment committee awards.</i> <i>See MEETINGS for records relating to meetings.</i>	<ul style="list-style-type: none"> • Work health and safety committees • Workplace relations committees
COMPLIANCE		
ELECTIONS	The election of individuals to UNSW Committees and representative bodies. Includes management of electoral rolls, advertising, balloting, nominations, notices, papers, results, scrutineers, tally sheets, etc.	

GOVERNING BODIES	<p>Records relating to the establishment, maintenance and registration as a corporate entity, or review of the University, or any of its controlled entities or governing bodies, including the University Council.</p> <p>Records include:</p> <ul style="list-style-type: none"> • certificates • memoranda • articles of incorporation or association • company or corporate registers 	<ul style="list-style-type: none"> • Seal registers • Register of directors • Academic Board • University Council • UNSW delegations • Conflict of interest registers
INQUIRIES	<p>The activities associated with liaising with bodies carrying out inquiries, and participating in them.</p> <p>Records include:</p> <ul style="list-style-type: none"> • formal inquiries involving the University, or where the University submits a detailed response • the provision of documents to Parliament in compliance with orders • submissions to Government relating to the University's core functions. 	<ul style="list-style-type: none"> • ICAC • NSW Ombudsman
LICENCING	<p>Records relating to the accreditation of the University as an education provider, and to deliver externally accredited short or non-award courses.</p>	<ul style="list-style-type: none"> • Accreditations • CRICOS Registration
MEETINGS	<p>Records relating to meetings of employees, or between the Vice-Chancellor and UNSW Executive Team and other senior executives.</p> <p>Includes meetings of UNSW group companies and their sub-committees.</p> <p>Also includes administrative arrangements for meetings.</p> <p><i>See COMMITTEES for records relating to committees.</i></p>	<ul style="list-style-type: none"> • Board meetings • Trust meetings
POLICY		

PROCEDURES		
REPORTING	<i>Use the relevant FUNCTION - REPORTING for internal operational reporting. See STRATEGIC - REPORTING for annual reports for faculties, schools, business units, etc.</i>	
SUBMISSIONS	<p>Records relating to submissions to the Minister or government organisations relating to administrative matters, e.g. exemptions for employing personnel during staff freezes.</p> <p>Also records relating to submissions by the organisation on the development or review of legislative or regulatory proposals of other government organisations, or the development or review of government-wide policies developed by central coordinating agencies, e.g. antidiscrimination, Charter of Principles for a Culturally Diverse Society, etc.</p>	

HEALTH & SAFETY

The function of implementing and coordinating workplace health and safety and associated legislation throughout the University.

Includes developing safety policies and monitoring safe work practices, procedures and preventative measures.

Activity	Notes	Examples
AGREEMENTS		
AUDIT		
COMPENSATION	Records relating to an employee's claim for workers' compensation. Also includes compensation claims for incidents involving members of the public.	
COMPLIANCE	<i>Use PERSONNEL for health promotion records relating to individuals, such as reports of health monitoring.</i>	
CONSULTATION	Records relating to consultation mechanisms, including consultation forums.	<ul style="list-style-type: none"> • WHS consultation forums
INCIDENTS	Records relating to incidents involving employees or members of the public.	<ul style="list-style-type: none"> • Incident reports • Injury registers • First aid registers
PLANNING	<i>See STRATEGIC - PLANNING for records relating to corporate and business planning which defines broad work health and safety objectives and targets.</i>	
POLICY		
PROCEDURES		
REPORTING		
REVIEWING		

RISK MANAGEMENT	Records relating to the risk management of work health and safety hazards. Also includes workplace inspections undertaken to identify and monitor work health and safety risks or hazards.	<ul style="list-style-type: none">• WHS inspections
-----------------	---	---

INFORMATION & COLLECTIONS MANAGEMENT

The function of managing the University's information and knowledge resources, as well as managing collections of items or objects for cultural, heritage, scientific or other research purposes.

Includes creating, capturing, registering, classifying, indexing, storing, retrieving and disposing of records and developing strategies to manage records.

Also includes the acquisition, control and disposal of library and other information products, items kept for reference purposes, and the provision of services to internal and external customers, based on information resources.

Knowledge management initiatives, the management of archival records and requests for access under relevant legislation, such as Government Information (Public Access) Act (GIPA) requests, records and privacy legislation, are also covered under this function.

Activity	Notes	Examples
AGREEMENTS		
AUDIT		
CASES	<p>The activities associated with maintaining individual case files relating to requests for or decisions regarding public access to records under relevant legislation.</p> <p>Includes requests for access to information that are withdrawn, lapsed, not relevant or already available to the public, and requests that result in discretionary access not involving the application of legislation.</p> <p>Also includes records related to breaches (or suspected breaches) of Privacy.</p>	<ul style="list-style-type: none"> • GIPA requests • PPIPA requests • Privacy breaches
COMPLIANCE		
CONSERVATION	<p>Records relating to ongoing preservation measures for the protection of collections.</p> <p>Includes the monitoring of light, temperature and humidity and pest control in storage areas, packaging, etc., and project management records for conservation projects.</p>	<p>Preservation for:</p> <ul style="list-style-type: none"> • Archives • Artworks • Books

CONTROL	<p>The activities associated with creating, maintaining and evaluating control mechanisms.</p> <p>Includes classification, indexing, registration, forms design, etc., to ensure maximum control over records and recordkeeping systems.</p>	<ul style="list-style-type: none"> • Business Classification Scheme • Library access • Metadata schemes • Registration of subscribers • Routine library and collection inventories
COPYRIGHT	<p>The activities relating to the management of copying services and applications to reproduce published and unpublished material.</p> <p>Includes the administration of payments made to collecting societies, sampling undertaken to support the payment process and signed copyright declaration forms.</p> <p><i>See LEGAL - INTELLECTUAL PROPERTY for records relating to establishment, registration and documentation of the organisation's intellectual property, including intellectual property registers.</i></p>	<ul style="list-style-type: none"> • Copyright forms
DISPOSAL	<p>The process of disposing of records or information resources no longer required by the organisation.</p> <p>Includes destruction or transfer to Archives.</p> <p>Also includes records relating to the transfer of records to successor organisations as a consequence of changes in administrative arrangements or functions, and the recovery of estrays.</p>	<ul style="list-style-type: none"> • Library culling • Transfer to Archives • Transfer to off-site storage
EXHIBITIONS	<p>Key records relating to exhibitions, events, productions and delivery of public programs relating to collections.</p> <p><i>See COMMUNITY - EVENTS for records relating to minor public programs or exhibitions staged to raise or maintain the organisation's public profile, to fundraise, or to advertise a particular service, product, program or event.</i></p>	<ul style="list-style-type: none"> • Exhibition catalogues • Event photographs / recordings • Calendars of events

PLANNING		
POLICY		
PROCEDURES		
REPORTING		
REVIEWING		
SECURITY	<p>Records relating to security arrangements for records storage, including safes and intellectual security arrangements, such as classifications.</p> <p>Also includes records relating to security breaches affecting information resources.</p>	<ul style="list-style-type: none"> • Security classifications • Data classifications • Access controls

LEGAL

The function of providing legal services to the University.

Includes the interpretation and provision of advice to the organisation regarding legal matters, the drawing up of legal agreements and the handling of legal action and disputes.

Also includes legal advice received from in-house consultants and external sources, including the Crown Solicitor's Office.

Activity	Notes	Examples
ADVICE	<p>Records relating to legal advice from internal or external legal providers, including the Crown Solicitor's Office.</p> <p>Includes final, approved reports consolidating research for the advice.</p>	
AGREEMENTS		
AUDIT		
COMPLIANCE		
INTELLECTUAL PROPERTY	<p>Records relating to the establishment, registration and documentation of the University's intellectual property.</p> <p>Also includes intellectual property registers, and records relating to unsuccessful or abandoned attempts to establish intellectual property rights.</p>	<ul style="list-style-type: none"> • Patents • Trademarks • Copyright
LITIGATION	<p>Records relating to issues, claims or case matters.</p> <p>Records include:</p> <ul style="list-style-type: none"> • briefs for counsel • copies of documents required by or lodged with a court • records of consultation with the Attorney General's Department or other organisations • records documenting compliance with court instructions (e.g. subpoenas and discovery orders). 	<ul style="list-style-type: none"> • Subpoenas • Discovery orders

PLANNING	<i>See STRATEGIC - PLANNING for records relating to strategic, corporate and business planning.</i>	
POLICY		
PROCEDURES		
REPORTING		
REVIEWING		

PERSONNEL

The function of managing all University employees.

Activity	Notes	Examples
ADVICE	The activities associated with giving advice or guidance to an employee.	
AGREEMENTS		
AUDIT		
AUTHORISATION	Records relating to applications, approvals and authorisations for employees to undertake a proposed action or activity.	<ul style="list-style-type: none"> • University delegations / representations • Work-related travel arrangements and bookings • Declarations of interest
CAREER DEVELOPMENT	Records relating to the assessment, evaluation and review of an employee's performance.	<ul style="list-style-type: none"> • Performance agreements • Development plans • Performance counselling • Recognition schemes • myCareer
COMPLIANCE		
COUNSELLING	<p>Records relating to the implementation of employee assistance/counselling programs or schemes.</p> <p>Includes program plans and reports, and individual records of counselling provided to employees.</p>	<ul style="list-style-type: none"> • Career counselling programs • Trauma counselling programs

EMPLOYEE	<p>Records documenting the appointment and subsequent employment history (including separation from the University) of successful applicants for a position.</p> <p>Also includes summary details of leave (e.g. name, type, dates, and approval), and health promotion records relating to an individual employee.</p>	<ul style="list-style-type: none"> • Personnel files • Transfers / secondments
GRIEVANCES	<p>Records documenting formal and informal grievances lodged by an employee, including those referred to an external body.</p> <p>Includes notes of meetings, reports and recommendations.</p>	
LEAVE	<p>Records documenting applications for leave.</p> <p>Records include leave requests and applications, and associated supporting documentation.</p>	<ul style="list-style-type: none"> • Leave requests • Attendance sheets • Time sheets • Flexitime sheets
MISCONDUCT	<p>Records relating to the management of instances or allegations of misconduct.</p>	
PERSONAL SECURITY FILES	<p>Personal Security Files (PSFs) of employees or contractors where the records are in the ownership of NSW State Government agencies.</p>	
PLANNING		
POLICY		
PROCEDURES		
RECRUITMENT	<p>Records relating to the filling of vacancies, including unsuccessful applications for a position and offers of employment which are not accepted.</p>	<ul style="list-style-type: none"> • Curriculum vitae (CVs) / resumes • Job interviews • Criminal history checks
REPORTING		

REVIEWING		
SCHEMES	<p>Records relating to the management of employment schemes and job assistance schemes.</p> <p>Includes reports, correspondence, bonds and liabilities.</p>	
STAFF DEVELOPMENT	<p>Administrative arrangements for holding or attending training courses, and records of the development of internal training materials.</p> <p>Includes training records relating to training for members of governing bodies.</p> <p>Also includes records relating to participant evaluations of internally and externally conducted courses.</p>	<ul style="list-style-type: none"> • Work health and safety training registers • Training content / results for scholarships, apprenticeships, cadetships

PROPERTY

The function of managing land and working, storage or living space within premises, and of acquiring, constructing, fitting-out, managing, maintaining, protecting and disposing of property.

Includes buildings and land allotments owned, rented or leased by the University, such as office blocks, repositories and workshops.

Also includes energy and environmental management, the removal of pollutants and waste and the management of grounds including landscaping, roads and pathways.

Activity	Notes	Examples
ACQUISITION	<p>Records relating to the acquisition of property.</p> <p>Records include:</p> <ul style="list-style-type: none"> • records of investigations into and reports on the property • images, including digital recordings, photographs, maps etc • records demonstrating public reaction to the purchase • environmental impact assessments • budget estimates • cost-benefit analyses • correspondence with the vendor or owner • due diligence checks prior to purchase • draft versions of contracts of purchase containing significant changes/alterations • final, approved versions of contracts of purchase. <p>Includes records relating to negotiations for property where the acquisition is not proceeded with.</p> <p><i>Use FINANCE - ACQUISITION for the acquisition of equipment, stores or services not requiring a tender or contract.</i></p>	<ul style="list-style-type: none"> • Deeds • Certificates of title • Deed registers • Property registers • Land registers
AGREEMENTS	<p><i>Use LEASING for the leasing of property.</i></p>	

ARRANGEMENTS	Records relating to routine arrangements for the use of property. Includes parking arrangements and facility bookings.	
AUDIT		
AUTHORISATION	Records relating to the issue of permits, licences, approvals, etc. by the University for the usage of and conduct of activities on or within the University's premises, grounds, or venues. Records include: <ul style="list-style-type: none"> • forms and supporting documentation submitted by applicants, including indemnity forms, copies of insurance policies, etc. • copies of permits, licences, approvals, notifications and associated correspondence with applicant. Also includes records relating to unsuccessful applications.	
COMPLIANCE		

<p>CONSTRUCTION</p>	<p>Key records relating to the design, construction, major renovation or restoration of property (including buildings, structures and environs).</p> <p>Records include:</p> <ul style="list-style-type: none"> • building and development applications, including supporting documentation recording reviews of environmental factors. • records demonstrating public reaction to the construction • plans/designs as approved • plans/designs as executed and variations • specifications • photographs • drawings • site diaries and plans • records of structural changes made for installations, fit-outs and maintenance • records of decisions or approvals regarding naming of buildings, use of coats of arms/heraldry and the erection of plaques on buildings, structures and public spaces • display models of architectural quality. <p>Also relates to construction projects or proposals not proceeded with, and the design and installation of temporary equipment, spaces and structures for events, exhibitions, etc.</p>	<ul style="list-style-type: none"> • Development Approvals (DA) • Building Approvals (BA) • Environmental impact statements • Heritage impact statements • Temporary stages, seating and signage • Construction project management records
<p>CONTAMINATION</p>	<p>Records relating to inspections, identification, management, removal, storage and disposal of toxic or hazardous substances present in buildings or land.</p> <p>Also records relating to the remediation of contaminated sites.</p>	<ul style="list-style-type: none"> • Asbestos • Radiation
<p>DAMAGE</p>	<p>Records relating to accidents or damage occurring to premises, including reports, maintenance work, and insurance claims by the University for damage to or loss of property.</p>	

DISPOSAL	Records relating to the disposal of property. Records include: <ul style="list-style-type: none">• assessments and investigations• valuation certificates• records of preparation undertaken before disposal• draft versions of contracts of sale containing significant changes/alterations• final, approved versions of contracts of sale.	
----------	---	--

<p>HERITAGE</p>	<p>Records relating to the identification, assessment, and ongoing conservation maintenance of assets owned or occupied by the University where the assessment has confirmed that the asset is of heritage significance.</p> <p>Records include:</p> <ul style="list-style-type: none"> • internal organisational assessments • records of consultation with communities and other stakeholders • consultants' reports • nominations and submissions on proposed listings • correspondence with heritage bodies • notifications of inclusion on heritage listings • notifications of permanent heritage orders • applications seeking changes to heritage places • notifications or orders from the Heritage Council, e.g. notifications or orders restricting development or harm to buildings or regarding failures to maintain or repair • advice and submissions given to or received from heritage bodies regarding maintenance, repair or adaptation • heritage agreements • records of site inspections and monitoring • records of remedial action. <p>Also includes summary records created to record and facilitate the identification and ongoing management of heritage assets, and the unsuccessful nomination of assets for heritage status.</p>	<ul style="list-style-type: none"> • Heritage registers • Conservation registers • Heritage listing nominations
-----------------	---	--

INCIDENTS	<p>Records relating to security breaches or incidents.</p> <p>Records include:</p> <ul style="list-style-type: none"> • reports of breaches or incidents • records of investigations. 	<ul style="list-style-type: none"> • Unauthorised access • Damage • Bomb threats • Fires • Armed hold-ups • Terrorism
INSTALLATION	<p>Records relating to the installation of service systems within the University's property, including plans, that do not involve structural changes.</p>	<ul style="list-style-type: none"> • Heating • Plumbing • Air conditioning • Security equipment • Cabling
LEASING	<p>Records relating to leasing and leasing-out arrangements, including leasing and leasing-out arrangements not proceeded with.</p> <p>Also includes records relating to the hire or use of the organisation's facilities or property for events such as conferences, lectures, filming, private functions, etc.</p>	<ul style="list-style-type: none"> • Signed leases • Leasing contracts / agreements • Lease registers • Property hiring
MAINTENANCE	<p>Records relating to routine maintenance of property, not involving structural changes.</p> <p><i>See AGREEMENTS for records relating to maintenance/service contracts.</i></p>	<ul style="list-style-type: none"> • Cleaning • Painting • Grounds maintenance • Pest control • Maintenance warranties • Building maintenance history

MOVING	<p>Records relating to the moving of business operations.</p> <p>Records include:</p> <ul style="list-style-type: none"> • inventories • records of costings • records of arrangements with removalists. 	<ul style="list-style-type: none"> • Relocations
PLANNING		
POLICY		
PROCEDURES		
REGULATORY BREACHES	<p>Records relating to breaches of regulatory requirements by the organisation.</p> <p><i>See LEGAL - LITIGATION for records relating to prosecution of the organisation for breaches of compliance requirements.</i></p> <p><i>See SECURITY for records relating to breaches of property security.</i></p>	<ul style="list-style-type: none"> • Waste management breaches • Environmental management breaches • Heritage breaches
REPORTING		
REVIEWING		
RISK MANAGEMENT	<p>Records relating to the identification and assessment of risks associated with the management of facilities or property and associated facilities or services.</p> <p>Records include:</p> <ul style="list-style-type: none"> • risk assessments • treatment schedules • action plans • risk registers. 	

SECURITY	<p>Records relating to property guarding, surveillance and patrol operations, including the provision of access.</p> <p>Also includes records relating to fines and penalties for parking and other traffic offences, as well as records of parking permits.</p>	<ul style="list-style-type: none">• Access registers• Visitors' books• Sign in sheets• Key registers• Security rosters• Security reports• Parking permits
----------	--	---

RESEARCH

The activities involved in investigating or enquiring into a subject or area of interest in order to discover facts, principles, etc.

Activity	Notes	Examples
ADMINISTRATION	Records relating to routine administration of grant programs, and projects not proceeded with.	
AGREEMENTS		
ANATOMY MANAGEMENT	Records relating to the acquisition, storage, management, maintenance and disposal of bodies, body parts, specimens, human tissue, etc. Includes agreements for the use and disposal of body parts.	<ul style="list-style-type: none">• Body Donation Program
AUDIT		
COMPLAINTS	Records relating to the handling and investigation of complaints concerning research projects that are not subject to the research ethics or approval committee processes or oversight.	
COMPLIANCE		

ETHICS & COMPLIANCE	<p>Records relating to assessment of the appropriateness of research on ethical grounds in relation to human-, animal- or biosafety-based research.</p> <p>Also includes records relating to compliance with standards for research with radiation, gene technology, research export, etc.</p> <p>Includes:</p> <ul style="list-style-type: none"> • applications, assessment and approval of research • grievances and investigations into misconduct • records of ethics committees • progress reports, inspection reports and reports on expenditure. <p>Also includes records relating to the treatment of animals in the organisation's custody, and records relating to the operation and provision of veterinary clinics and services.</p>	<ul style="list-style-type: none"> • Human ethics • Animal ethics • Drone approval • Radiation safety • Biosafety
FINAL REPORTS	Final reports on individual research projects that include outcomes of the research project.	
GRANT ADMINISTRATION	<p>Records relating to applications for grants.</p> <p>Includes establishment of grants, applications, agreements, project monitoring, acquittals and reports.</p>	
PLANNING		
POLICY		
PROCEDURES		
REPORTING		
REVIEWING		
RESEARCH DATA	Data and datasets created as part of research activities within the institution.	<ul style="list-style-type: none"> • Animal testing • Gene therapy

RAMS Ref: 2019/06776-003

STRATEGIC

The function of applying broad systematic management planning for the University.

Includes the activities involved with the development, monitoring and reviewing of business plans, strategic plans, corporate plans, Equal Employment Opportunity (EEO) plans, Ethnic Affairs Policy Statements (EAPS) and agreements, and other long-term organisational strategies, such as frameworks for the management of intellectual property.

Also includes the development of the corporate mission, objectives, continuous improvement processes, quality assurance and certification, and the formulation and amendment of legislation which provides the legislative basis for the University.

Activity	Notes	Examples
AGREEMENTS		
AUDIT		
AUTHORISATION	Records relating to delegations of authority to officers to enter into agreements or arrangements that bind the University.	
COMPLIANCE		
CORRUPTION	Records relating to the University's compliance with mandatory statutory reporting requirements. Includes reporting corrupt, suspected corrupt or inappropriate behaviour. Also includes records relating to the management of gifts and benefits made to the University, such as from visiting dignitaries.	<ul style="list-style-type: none">• Gifts and benefits registers

IMPLEMENTATION	<p>Records relating to the implementation of government-wide policies, key direction statements, initiatives, and standards concerning important or innovative programs.</p> <p>Also includes records relating to the implementation of counter disaster plans/business continuity plans after disasters have occurred.</p> <p>Records include:</p> <ul style="list-style-type: none"> • photographs and records of assessment of damage • correspondence between relevant parties • documentation of action taken to implement plans. 	
JOINT VENTURES	<p>Records relating to the establishment and monitoring of joint ventures with other organisations (government or non-government) regarding the core functional activities of the University.</p> <p>Includes negotiations for joint ventures that do not proceed and joint ventures where there is no contract or agreement.</p> <p>Records include:</p> <ul style="list-style-type: none"> • correspondence and records of negotiations regarding the establishment of joint venture agreements • drafts of agreements containing significant changes/alterations or formally circulated for comment • final, approved versions of agreements • reviews of agreements • correspondence and liaison concerning arrangements, including minutes or notes of meetings with main stakeholders or joint venture participants • records of monitoring of arrangements • records of reporting on arrangements. 	
PLANNING		

POLICY		
PROCEDURES		
REPORTING		
REVIEWING		
RISK MANAGEMENT	Records relating to the identification and assessment of organisational risks, in order to assist planning, and the implementation of strategies to minimise their impact.	<ul style="list-style-type: none"> • Risk registers
STANDARDS	<p>Records relating to the development and implementation of standards or benchmarks that provide a framework for the conduct of the University's operations or assessment of its performance.</p> <p>Records include:</p> <ul style="list-style-type: none"> • background research • records of consultations • draft versions of proposed standards or benchmarks containing significant changes/alterations or formally circulated for comment • reports analysing issues and the outcomes of consultation with employees, unions, stakeholders etc. 	

STUDENT ADMINISTRATION

The administration and management of students from application for admission to completion or discontinuation.

See *FINANCE - ACCOUNTING* for records relating to administering student fees and charges.

Activity	Notes	Examples
AGREEMENTS		
APPLICATIONS	<p>Records relating to applications for admission, regardless of decision and outcome.</p> <p>Includes offers which have or have not been accepted or have lapsed, and unsuccessful, incomplete, withdrawn applications, etc.</p> <p>Records include:</p> <ul style="list-style-type: none">• application forms and supporting documents• offers of places• interview records• entry examinations• correspondence.	

ARRANGEMENTS	<p>Records relating to:</p> <ul style="list-style-type: none"> • administrative arrangements for the management of enrolment processes • supporting documentation for variation of student details for graduation • notifications for change of address or contact details • provision of student identification • arrangement and management of student concessions • arrangements for graduation and determination and notification of students of their eligibility to graduate • processing of applications received for exchange student placements or study abroad • preliminary/fact finding investigations of grievances, complaints and misconduct that were not formally proceeded with 	
AUDIT		
AWARDS	<p>Records relating to the management and delivery of scholarships, prizes, fellowships, awards and honorary awards.</p> <p>Includes applications, nominations, acceptances, unsuccessful candidates, rejected or lapsed offers.</p> <p><i>See PERSONNEL - CAREER DEVELOPMENT for awards given to staff.</i></p>	<ul style="list-style-type: none"> • Scholarships • Prizes • Fellowships • Award registers
COMPLIANCE		

MISCONDUCT & COMPLAINTS	<p>Records relating to the management of proven and unproven student grievance, misconduct and disciplinary cases.</p> <p>Includes:</p> <ul style="list-style-type: none"> • inquiries and investigations, outcomes, and matters referred to external bodies for investigation • handling complaints over perceived discrimination, the work/study environment, assessment/assignment organisation or distribution, peers, lecturers, tutors or supervisors, access to equipment, facilities (such as laboratories), tutorials, or other services • disciplinary processes for breaches of by-laws and rules and other student disciplinary matters. 	<ul style="list-style-type: none"> • Student misconduct • Student complaints
PLANNING		
POLICY		
PROCEDURES		
QUALIFICATION	<p>Records confirming the award/receipt of a qualification of diploma or above.</p> <p>Includes honorary doctorates.</p>	<ul style="list-style-type: none"> • Honorary degrees
REPORTING	<p>Records relating to reports regarding student administration.</p> <p>Records include:</p> <ul style="list-style-type: none"> • background research, e.g. collection of statistics • draft versions of reports containing significant changes/alterations or formally circulated for comment • final, approved versions of reports. 	

RESULTS	<p>Records relating to the grading/marketing of individual assessment components of a subject or course and determination of final results/grades.</p> <p>Includes:</p> <ul style="list-style-type: none"> • examiners/assessor’s reports and related records for higher degree students • appeals of grades • local faculty level informal requests for extension of assessment components for a subject • local special consideration arrangements • changes to assessment results as a result of moderation, re-marking or appeal by the student <p><i>See STUDENT for enrolment and progression records for formal special considerations.</i></p> <p><i>See MISCONDUCT & COMPLAINTS for records relating to changes to assessment as a result of grievance lodged by student or as a result of misconduct.</i></p>	<ul style="list-style-type: none"> • Non-award results • Student appeals
REVIEWING		
STUDENT	<p>Records relating to the admission, enrolment and subsequent progress of students.</p> <p>Includes show cause for progression purposes, special considerations affecting enrolment and progression, variations of program, advanced standing, withdrawals, etc., and records relating to working with children checks for students undertaking studies involving contact with children.</p> <p><i>See COMPLIANCE for retention periods applying to records confirming a working with children check has been carried out.</i></p>	<ul style="list-style-type: none"> • Student files • Special considerations • Advanced standing

SUPPORT SERVICES

The function of managing non-teaching related services to students, ex-students, staff, etc.

Includes the management of accommodation, health, childcare and other services.

Activity	Notes	Examples
ADMINISTRATION	Policies and procedures relating to routine operational or administrative matters, and records relating to the provision and administration of support services, including; <ul style="list-style-type: none"> • residential accommodation and placement services for students • careers, employment and general services • mentoring • peer networking services • medical appointments • childcare. 	
AGREEMENTS		
AUDIT		
COMPLIANCE		
MEDICAL	Records relating to the provision of medical services, including counselling and the provision of pharmaceuticals. Also includes patient records.	<ul style="list-style-type: none"> • Counselling • Drug registers

MISCONDUCT	<p>Records relating to the investigation of a licensee, licensed centre or authorised supervisor for serious incidents or breaches that result in sanctions and/or prosecutions. Serious incidents include death or serious injury, physical or sexual assault.</p> <p>Records include:</p> <ul style="list-style-type: none"> • complaints • notifications • investigation reports • correspondence • briefings • reports and recommendations • records of remedial action. 	
MISTREATMENT	Records relating to the treatment of, or receipt by childcare providers of allegations of, any form of abuse, neglect or assault.	
PLANNING		
POLICY		
PROCEDURES		
REPORTING		
REVIEWING		

SERVICE PROVISION	Records relating to the provision of financial assistance services, special needs and accessibility services and other tailored advisory or study support services and assistance to individual students.	<ul style="list-style-type: none"> • Loans and bursaries • Interpreters • Disability support • Childcare services • Religious services • Student accommodation • Health services
STUDENT ASSOCIATIONS	Records relating to the interaction between the University and student associations.	<ul style="list-style-type: none"> • ARC • Sporting clubs • Student groups

TEACHING

The activities involved in conveying knowledge.

Activity	Notes	Examples
AGREEMENTS	<i>Use PROPERTY - LEASING for the leasing of property.</i>	
ASSESSMENT	<p>Assessment committee records and records of appeals of individual assessments.</p> <p>This also includes attendance records, administrative arrangements for practicums and assessments, and any student work that could be required during the appeal process.</p>	<ul style="list-style-type: none"> • Assessment committee meetings • Student work • Practicum arrangements
AUDIT		
COMPLIANCE		
COURSE DELIVERY	Records relating to course delivery, including subject resources, material used in course delivery, and quality assurance.	<ul style="list-style-type: none"> • Subject outlines • Study guides • Readings • Course materials • Teaching aides • Lecture notes / recordings • Timetables • Course feedback

CURRICULUM DEVELOPMENT	<p>Records relating to the development, review or approval of the curriculum.</p> <p>Includes correspondence, reference/advisory/industry groups, records of working parties and notes, and committee records.</p> <p>Also includes records of application for external accreditation and compliance with obligations.</p>	<ul style="list-style-type: none"> • Curricula • Faculty handbooks • Calendars • Course requirements and prerequisites • Curriculum development committees
EXAMINATION PAPERS	<p>Masters of examination papers.</p> <p><i>See ASSESSMENT for examination transcripts completed by students.</i></p>	
PLANNING		
POLICY		
PROCEDURES		
REPORTING		
REVIEWING		

TECHNOLOGY

The function of developing or acquiring, testing and implementing hardware infrastructure, and applications and databases to support the business needs of the University to capture, store, retrieve, transfer, communicate and disseminate information through automated systems. Includes the evaluation of software and hardware and the acquisition, tendering, leasing, licensing and disposal of systems.

Also includes communication network systems such as video conferencing, voice mail and electronic mail and the technical aspects of the Internet, Intranet and websites.

Activity	Notes	Examples
APPLICATION DEVELOPMENT	<p>Records relating to the design and development of systems which are proceeded with, including the configuration or customisation of off-the-shelf packages.</p> <p>Records include:</p> <ul style="list-style-type: none"> • background research • project proposals • project management records • notes of meetings or reports analysing issues and the outcomes of consultation with employees, stakeholders, etc. • systems documentation • information regarding the source code and the source code itself • information regarding the interrelationship between systems • system specific data dictionaries • records of establishment of system logs • records of application and allocation of metadata • records of business rules • records of user requirements • records of system specifications and configurations • records of rectification of developmental problems • records of requests for system changes during development • records of final sign-off by parties. 	<ul style="list-style-type: none"> • Application testing

APPLICATION MANAGEMENT	Records relating to enhancements and upgrades to systems, and system-changing maintenance and problem management.	<ul style="list-style-type: none"> • Software licences • System access logs • Backup and activity logs
AUDIT		
COMPLIANCE		
CUSTOMER SERVICE	<p>Records relating to the provision of technology, information management and telecommunications services to clients.</p> <p>Records include:</p> <ul style="list-style-type: none"> • charters, standards and guarantees • administration of help desks • suggestions received from personnel. 	
DATA RECOVERY	<p>Records relating to the recovery of data.</p> <p>Records include records of testing for data recovery and post-incident reviews.</p>	<ul style="list-style-type: none"> • Data loss • Data corruption

DISPOSAL	<p>Records relating to the disposal of technology and telecommunications equipment through any means including sale, transfer, auction, exchange, return or destruction.</p> <p>Records include for leased equipment:</p> <ul style="list-style-type: none"> • written notices and related correspondence, e.g. to and from leasing companies • handover reports. <p>Records include for purchased equipment:</p> <ul style="list-style-type: none"> • independent valuation certificates verifying work undertaken on assets prior to valuation • written quotes • auction records • related correspondence. 	
DISTRIBUTION	<p>Records relating to the routine allocation and distribution of technology and telecommunications equipment, services, facilities, hardware or software to business units and individuals within the organisation, and installation or relocation of equipment that is not part of a stand-alone project.</p> <p>Also includes requests for permission for employees to access or connect to technology and telecommunications systems.</p>	<ul style="list-style-type: none"> • System access

IMPLEMENTATION	<p>Records relating to the implementation of technology and telecommunications strategies, projects, equipment and systems. Systems can include off-the-shelf products or internally developed applications.</p> <p>Records include:</p> <ul style="list-style-type: none"> • notes of meetings or reports analysing issues and the outcomes of consultation with employees, stakeholders, etc. • project management documentation • records of implementation strategies and pilots • records of implementation testing • records of migration strategies and quality assurance checks for migration • records of allocation of technology and telecommunications equipment to individuals or organisational units as part of implementation rollouts • records of monitoring of implementation. 	<ul style="list-style-type: none"> • Application roll-outs
INTELLECTUAL PROPERTY	<p>Records relating to managing applications:</p> <ul style="list-style-type: none"> • made by the University to use portions of software developed by another organisation or individual, or • from the public or other organisations for permission to reproduce portions of software developed by the University. <p><i>See LEGAL - INTELLECTUAL PROPERTY for records relating to establishment, registration and documentation of the organisation's intellectual property, including intellectual property registers.</i></p>	

MAINTENANCE	<p>Records relating to the maintenance of technology and telecommunications equipment.</p> <p>Records include:</p> <ul style="list-style-type: none"> • project management documentation • notes of meetings or reports analysing issues and the outcomes of consultation with employees, stakeholders, etc. • correspondence and records of advice from vendors, suppliers, consultants, etc. • records of maintenance inspections • records of requests for maintenance • documentation of minor maintenance action. 	
PLANNING		
POLICY		
PROCEDURES		
REPORTING		
REVIEWING		

<p>SECURITY</p>	<p>Records relating to security arrangements made for the protection of technology and telecommunications systems, and records relating to suspected or proven breaches of security arrangements for technology and telecommunications systems.</p> <p>Records include:</p> <ul style="list-style-type: none"> • minutes or notes of meetings • records of authentication measures • records of encryption measures • records of advice/approval from other organisations regarding security issues • records of maintenance of firewalls • records of security testing and audit • records of sanitisation of technology equipment prior to disposal, e.g. wiping of hard disks • reports on security leaks • records of investigations into alleged security breaches • records of referral of breaches to law enforcement authorities. 	<ul style="list-style-type: none"> • Cyber security breaches
-----------------	---	---