



Please Note:

- > if you are a staff member - please refer to the privacy information in this document
- > if you are not a staff member please refer to the privacy statement for external candidates at <http://www.uts.edu.au/staff/jobs-uts/privacy-statement>.

7.9 STAFF RECORDS

INTRODUCTION

These guidelines explain the nature of staff records and the conditions under which they are kept at UTS. A staff record is information pertaining to staff (or former staff) of UTS, in any form that is created or received and maintained by the Human Resources Unit in regards to the employment relationship between the University and each individual staff member. Staff records form part of the University's official record keeping system. The Human Resources Unit is responsible for the creation and management of staff records in accordance with the NSW State Records Act, the Privacy & Personal Information Protection Act and UTS Records Management policy and the University Records website.

Staff records are created in a variety of forms, usually a paper file and computerised record but may also include e-mail, electronic documents, photographs, plans, film, sound recording, publication, or other textual, audio-visual or computerised digital information.

Staff records are primarily stored within the Human Resources Unit but may be duplicated if necessary (eg work plans and reviews) by supervisors or managers in the work area. The original of any document must be forwarded to the Human Resources Unit to be placed on the staff member's file. Only copies of documents may be held in the workplace. Other units or faculties may hold records that pertain to staff where the business of that unit requires them to do so and may include:

- Financial Services Unit records relating to individual staff members' financial transactions and pay
- Student Services Unit medical or counselling records
- Student Administration Unit records of staff who are UTS students
- work place records relating to hours worked

- Equity and Diversity Unit files relating to grievances
- other areas of the University such as the library, or IML, keep records relating to transactions between individual staff and the unit.

Records held by areas other than the Human Resources Unit are restricted to that required for the business of that area and are subject to UTS guidelines and policies, the Data Protection and Privacy Act and the State Records Act.

The University's phone directory and information provided on the internet or published in the University calendar are public records. Staff information in these records is not confidential and not covered by these guidelines. Personal information contained within public records should be approved and supplied by the staff member concerned.

PRIVACY AND CONFIDENTIALITY

Staff records are private and confidential and access to information contained within staff records is limited to that required to fulfil the legitimate and authorised purposes of the University. Requests for access to personal information contained in staff records by third parties are normally denied. In particular, access to staff members' personal addresses and phone numbers is not provided to fellow staff, students or any other third party. The University will disclose information only with the permission of the staff member concerned, or if required or authorised by law, or in an emergency (the latter subject to the approval of the Director, Human Resources or nominee).

Access to staff records is restricted to that required for the purposes of the business of the University. Supervisors may only access information that is relevant to the work currently being undertaken by the employee or to the circumstances for which the information is sought.

7.9 STAFF RECORDS

Access to personal information not required for the legitimate needs of University business is restricted. Staff may authorise unions, supervisors or others to access their restricted personal information

ACCESSING YOUR RECORDS

You may request access to view your staff records held by the Human Resources Unit. Generally, you do not need to make a formal 'Freedom of Information' request. Access is usually granted within normal business hours, subject to reasonable notice and availability of records, giving consideration to business demands. Files are normally viewed in the presence of a Human Resources staff member. You may:

- make notes and receive copies of information contained on your records
- have written comments regarding any document added to your personal file.

You may not:

be given access to private or confidential information relating to any other employee without that employee's written authority

- alter or remove any item or document
- remove your records or files from the Human Resources Unit.

Records may only be removed from the Human Resources Unit by the Vice-Chancellor, Deputy Vice-Chancellors, Pro-Vice-Chancellors, University Solicitor, Freedom of Information Officer, or auditor. In each case Human Resources will record the physical location of your record and the person to whom it has been allocated. Staff records being removed from the Human Resources Unit remain subject to these guidelines and the laws for maintaining privacy and data protection.

If your request for information has been denied you may seek the advice of the University's Freedom of Information Officer.

RECORDS MAINTENANCE

The Human Resources Unit endeavours to ensure that staff records are relevant, accurate, up-to-date and complete. Any personal information held as staff records is collected by the Human Resources Unit for lawful purposes directly related to your employment relationship with the University. Wherever possible this information is collected directly from you or at your request from a third party (as in prior service records).

You should read and sign correspondence and reports such as performance review plans and reports, (except confidential referees' reports), prior to being placed on your file. Reports received in confidence from your nominated referees are not available for examination. Referees' reports obtained as part of the recruitment or promotion process are not retained as staff records. These reports are destroyed at the expiration of action in accordance with the NSW Government Disposal Authority.

Sensitive information such as that arising from grievances or disciplinary action will be kept on a case management file to which access is restricted to that required to manage the case only. Other highly sensitive information (such as detailed medical reports) may be referred directly to the Director of Human Resources by the staff member and kept in a sealed envelope on the file.

You should notify the Human Resources Unit of any change or alteration required to your records such as changes to addresses or qualifications. UTS requires original documentation of qualifications to be sighted prior to copies being included on your record.

You may appeal to the Director, Human Resources (or nominee) to remove adverse reports from your file. An adverse or critical report may be removed and destroyed if:

- (i) the Director, Human Resources reviews the matter and finds the report to be unsubstantiated, or
- (ii) a period of three years (from the date of the note/report) has elapsed and no other disciplinary note or adverse report has subsequently been added.

The document may then be either returned to you or destroyed at your request.

STAFF RECORD ARCHIVES

Staff records are subject to the provisions of the NSW State Records General Retention and Disposal Authority - Personnel Records GD12 (www.records.nsw.gov.au). Staff records are held until such time as the staff member ceases employment with the University where the record is held or disposed of in accordance with the NSW Government Disposal Authority.