

|                              |   |            |            |
|------------------------------|---|------------|------------|
| <b>POLICY</b>                | Records Management  |            |            |
| <b>OVERVIEW</b>              | To provide a framework that outlines responsibilities for the management and handling of records. |            |            |
| <b>AUTHORISED BY COUNCIL</b> | ROUS  | RRCC       | FNCW       |
|                              | 18/06/2014  | 25/06/2014 | 24/06/2014 |
| <b>REVIEW DATE</b>           | 30/06/2015  |            |            |
| <b>FILE</b>                  | 172   | 843        | 1294       |

## BACKGROUND

The purpose of this policy is to ensure that full and accurate records of all activities and decisions of Council are gathered, created, managed and retained or disposed of appropriately and in accordance with legislative requirements. This policy is designed to support Council to effectively and efficiently manage its records thereby enhancing and improving business operations, transparency and accountability. This Policy applies to all records in all formats, including electronic records and is in line with government policy on managing information as an asset.

## POLICY

### Definition

**gathering information** refers to the manner in which Council collects information through documents, databases other information sources and during the investigation of incidents.

### Objectives of records management at Council

Council's records management program is a planned, co-ordinated set of policies, procedures, people, systems and activities designed to ensure:

1. Appropriate records exist to support and facilitate Council operations and customer service.
2. Records are managed efficiently and can be easily accessed and used.
3. Records are stored as cost-effectively as possible and when no longer required they are disposed of in a timely, efficient and secure manner.
4. Records of long term value are identified and protected for historical and other research purposes.
5. Council is compliant with its legislative obligations and records management practices including the NSW Government's objectives for recordkeeping.
6. Technology dependant records are maintained in an authentic and accessible form for as long as they are required.
7. The rights and interests of Council, its customers and the public are protected.
8. Evidence of actions and decisions and precedents for future decision making are documented.
9. Records are stored in a format which are admissible to a court of law as evidence.
10. Customer services are delivered in an efficient, fair and equitable manner.

### Elements of Council's records management program

- Creation and capture

Records (both electronic and paper forms) are kept of decisions and actions made in the course of official Council business. Council's records information management system is used to register records.

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- Storage and Security

Hardcopy records currently in use are securely stored in designated storage areas with access restrictions as appropriate for the file classification. Rarely used records or records no longer in use but still required to be retained are securely stored in a designated archive storage area.

Electronic records are stored in a safe and secure manner as outlined in the *State Records Act 1998*, the *Privacy and Personal Information Protection Act 1998* and the *State Records Normal Administrative Practice* ('NAP'). Council ensures that electronic records are backed-up as per operational requirements.

- Maintenance and monitoring

The location of each record is 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 Council are.

Historical data is migrated into new systems within the means of Council.

- Disposal

Council's records are covered under the *State Records Authority of NSW General Retention and Disposal Authority for Local Government*. No Council records are to be disposed of unless in accordance with this retention and disposal authority or the NAP provisions of the *State Records Act 1998*.

- Access

Records must be available to all authorised staff that require access to them for legitimate Council purposes.

Access to Council records by members of the public, including requests under the *Government Information (Public Access) Act 2009*, are handled in accordance with Council Procedure or as otherwise required by law.

## **Contractors and outsourced functions**

Records created by contractors performing work for or on behalf of Council belong to Council, and are covered under the *State Records Act 1998*. This includes the records of contract staff working on the premises as well as external service providers. Contractors are to manage records that they create on behalf of Council according to the terms of their contract.

## **Responsibilities**

Records management is a responsibility of every person within Council including the General Manager and Councillors. Managers and supervisors are responsible for ensuring effective records management within their respective areas of responsibility. All Council employees must:

- Create full and accurate records of Council activities, including records of all decisions and actions made in the course of official duties.
- Ensure that all records are provided to the Records Officer so that they can be captured into Council's recordkeeping systems.

In conjunction with the responsibilities outlined above, the IT Manager will be responsible for the:

- Back-up of server data; and
- Security of server, server data and back-ups thereof.

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**RELATED POLICIES**

Information Communication Technology policy.

**RELATED PROCEDURES**

Tenders Procedure.

Gathering Information for Incident Management Procedure.

**LEGISLATION**

*Copyright Act 1968 (Cth)*

*Evidence Act 1995*

*Government Information (Public Access) Act 2009*

*Health Records and Information Privacy Act 2002*

*Local Government Act 1993*

*Privacy and Personal Information Protection Act 1998*

*State Records Act 1998* – including standards and retention and disposal authorities issued under the Act

**RELATED DOCUMENTS**

Australian Standard, AS ISO 15489-2002, Records management.

Code of Conduct.

NSW Governments Recordkeeping Manual Guideline 8 – Normal Administrative Practice

Premier's Memoranda and Circulars, including C2003-17 and M2007-08.

Rous Water's Records Disaster Plan.

**CONTACT OFFICER**

Manager Governance

Records Officer

IT Manager.

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