

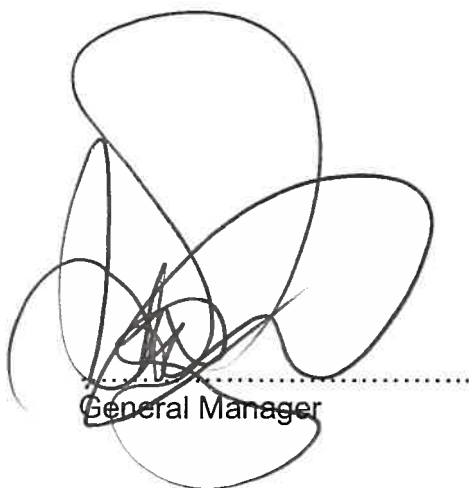


Records Management Policy

DOCUMENT AUTHORISATION

RESPONSIBLE OFFICER:		RECORDS SUPERVISOR			
REVIEWED BY:		MANEX			
REVIEW DUE DATE:		March 2025			
VERSION NUMBER:		7			
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VERSIONS:	DATE:	RESOLUTION NO:	DESCRIPTION OF AMENDMENTS:	AUTHOR / EDITOR:	APPROVED / ADOPTED BY:
7	24/03/2022	19.03/22	Adjustments to fit Council's updated Policy Template. Update to Legislation requirements and other relevant documentation.	Records Supervisor	Council
6	28/03/2019	29.03/19	Update to Legislation requirements. Minor formatting updates.	Records Supervisor	Council
5	26/05/2016	14.05/16	Inclusion of requirements for Managers and Contractors, External Service Providers and Outsourced functions.	Records Supervisor	Council

Note: Document Control continued at Appendix A



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General Manager

29/3/22
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Date

ACKNOWLEDGEMENT OF COUNTRY

Glen Innes Severn Council acknowledges and pays respect to the Ngoorabul people as the traditional custodians of this land, their elders past, present and emerging and to Torres Strait Islander people and all First Nations people.

PURPOSE

The purpose of this policy is to support managerial decision-making, protect the interests of Government, and the rights of employees, customers and the community.

Records Management supports consistency, continuity, efficiency and productivity in program delivery, management and administration.

APPLICABILITY

This policy applies to all Council staff, Councillors, contractors and volunteers for records in all formats, including electronic records.

OUTCOMES

- Ensure the creation and maintenance of Records with appropriate evidential characteristics by establishing a framework and accountabilities for Records Management;
- Ensure that Council's Records Management Program provides timely and comprehensive information to meet operational business needs and community expectations; and
- Ensure the preservation of Council's 'corporate memory' through sound record keeping practices and the accurate capture of information to meet legal, evidential and accountability requirements.

ROLES AND RESPONSIBILITIES

Council is responsible for the protection, safe custody and return of all State Records under its control, ensuring accessibility to all equipment or technology dependent records.

This Policy will be communicated to all new employees that are affected by it as part of their induction.

General Manager

The General Manager is responsible for ensuring that Glen Innes Severn Council complies with the regulations and requirements of the *State Records Act 1998*.

Director of Corporate and Community Services

The Director of Corporate and Community Services has corporate responsibility for the oversight of records and information management.

Managers

Managers are responsible for:

- Ensuring staff comply with the Records Management Policy and Procedures;
- Ensuring staff are trained in the Corporate Document Management System (ECM);
- Ensuring staff are aware of their recordkeeping responsibilities;
- Ensuring staff are aware that Council records and information are to be used only for business purposes;
- Informing the Records Supervisor of any staff changes so that security and access controls for the system can be maintained;
- Ensuring that contracts with service providers contain records management clauses; and
- Demonstrating that they have considered that there are records and information management requirements when they move to a new service environment, develop new work processes, systems or services or improve on existing work processes, systems or services. Managers must consult with the Records Supervisor to ensure that sufficient records and metadata will be captured.

Records Supervisor / Records Staff

The Records Supervisor is operationally responsible for:

- Establishing Records Management Policies and Procedures for the organisation as a whole;
 - Establishing Corporate Standards for Records Management;
 - The efficient day to day management of Council's Records (physical and electronic);
 - Implementing sound record keeping principles and Records Management best practice guidelines;
 - Effective management and system administration of Council's primary record keeping system – ECM;
 - Assisting other staff members to fulfill their Record keeping responsibilities through advice and training;
 - Keeping track of legislative changes relating to Record keeping and reporting such changes to the Director of Corporate and Community Services;
 - Implementing this Policy and all other record keeping plans, procedures and strategies; and
 - Monitoring and reviewing the implementation process of all Records Management Policies and Programs.
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All Staff

All staff are to be made aware of Record keeping requirements that affect the performance of their duties. Staff are responsible for:

- Making Records to support the conduct of their business activities;
- Capturing Records in any format, including electronic documents and electronic messages, into Council's record keeping systems;
- Following authorised procedures for Records Management functions;
- Learning how and where Records are kept within Council;
- Not alienating, relinquishing control over, or destroying Records of Council without proper authority to do so;
- Handling hard copies of Records with care and respect and in a sensible manner, to avoid damaging them with a view to prolonging their life span;
- Being aware of Records Management Procedures; and
- Not eating or drinking near records or in Records storage areas.

Staff members also have several obligations addressed in the Glen Innes Severn Council Code of Conduct for Council Staff concerning records:

- Part 8 - Access to Information and Council Resources.

CONTRACTORS, EXTERNAL SERVICE PROVIDERS AND OUTSOURCED FUNCTIONS

All records created by contractors performing work 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.

Contracts will clearly state that ownership of records resides with Council, and instructions regarding creation, management, and access to the records created.

Where Council is contracted or part of a joint venture with State or Federal Departments, Council will comply with the relevant disposal schedules applicable to those jurisdictions.

POLICY STATEMENT

The *State Records Act 1998* requires public officers to 'make and keep full and accurate records' of their business activities. Council is committed to meeting its responsibilities under the Act by implementing best practice in its records management.

Glen Innes Severn Council recognises that records are a vital asset to:

- Facilitate information accessibility, and enhance business by supporting service delivery, management and administration;
 - Deliver customer services in an efficient, fair and equitable manner;
 - Provide evidence of actions and precedents for future decision making; and
 - Protect the rights and interests of Council, its staff and the community.
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LEGISLATION AND SUPPORTING DOCUMENTS

Relevant Legislation, Regulations and Industry Standards include:

- *State Records Act 1998 (NSW)* – including standards and retention and disposal authorities issued under the Act;
- *Government Information (Public Access) Act 2009*;
- *Privacy and Personal Information Protection Act 1998*;
- *Health Records and Information Privacy Act 2002*;
- *Public Interest Disclosures Act 1994 (PID Act)*;
- *Environmental Planning and Assessment Act 1979*;
- *State Records GA39: General Retention and Disposal Authority Local Government Records*;
- *State Records GA45: General Retention and Disposal Authority Original or Source records that have been copies*;
- *State Archives and Records NSW Standard on Records Management 2015*;
- *State Archives and Records NSW Standard on the Physical Storage of State Records*;
- *Evidence Act 1995 (NSW)*; and
- *Local Government Act 1993*;
 - *s412 Accounting Records*;
 - *s664 Disclosure and misuse of information*;
 - *s665 False and misleading information*; and
 - *s666 Wilful destruction of documents*.

Relevant Council Policies and Procedures include:

- Code of Conduct for Council Staff;
- Privacy Management Plan; and
- Records Management Information and Procedures Manual

VARIATION AND REVIEW

The Records Management Policy will be reviewed every 3 years, or earlier if deemed necessary, to ensure that it meets the requirements of legislation and the needs of Council. The term of the Policy does not expire on the review date, but will continue in force until superseded, rescinded or varied either by legislation or a new resolution of Council.

Appendix A**Document Control Continued**

PREVIOUS VERSIONS:	DATE:	RESOLUTION NO:	DESCRIPTION OF AMENDMENTS:	AUTHOR / EDITOR:	REVIEW / SIGN OFF:
4	27/02/2014	14.02/14		Records Supervisor	Council
3	22/09/2011	14.09/11		Records Supervisor	Council
2	24/09/2009	14.09/09		Records Supervisor	Council
1	22/03/2007	8.03/07		Records Supervisor	Council