

TEMORA SHIRE COUNCIL



TEMORA
The Friendly Shire

RECORDS AND INFORMATION MANAGEMENT

ACTIVE

Review Details

ABOUT THIS RELEASE

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REVIEW

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		2		

PLANNED REVIEW

Planned Review Date	Revision Description		Review by
September 2020	Review		Executive Assistant

OBJECTIVES

The objects of this policy is to instigate a system where ALL records and documents within Temora Shire Council are;

- * Used for their intended purpose
- * Reviewed and updated where necessary
- * Left as a living and useable document where necessary
- * Distributed to the required committees, staff members, Councillors, residents or persons who have the proper right to access them
- Managed so as to comply with all legislation applicable to Records Management within Local Government.
- Used in conjunction with Temora Shire Council's Quality Manual Section Fifteen-Quality Records.

SCOPE

This policy will apply to ANY records, documents, or information received, distributed or created in all areas of Temora Shire Council's activities.

POLICY STATEMENT

Temora Shire Council is committed to adhere to the New South Wales State Records Act 1998 S.12.(2), Local Government Regulations and any Standard or other Regulation applying to Record and Information Management.

PRACTICES and PROCEDURES

RECORDS MANAGEMENT PROGRAM

The N.S.W. State Records Act 1998,S 12 (2) requires that Council maintain a Records Management Program. This program is an organisation wide program that covers the full range of the organisation's information and records.

The objectives that must be achieved through the program are;

1. To have complete information and records of all Council's operations.
2. To ensure that information and records are accessible and usable.
3. To have information management systems and practises that comply with external requirements and standards.
4. To maintain a current Disaster Recovery and Continuity Business Plan as part of the preventative conservation plan for Council's records and information.
5. To create documents for use within Council.
6. To store and maintain any records, documents or information correctly, as required by law or Government body.
7. To develop a strategic plan for records and information that reflect the aims of the Council's Strategic Management Plan.
8. To regularly monitor information management activities to evaluate performance.
9. To distribute any document where required to provide information.

ACCOUNTABILITY REQUIREMENTS

GENERAL MANAGER

The General Manager has a duty to ensure that Temora Shire Council complies with the requirements of the NSW, State Records Act 1998 and regulations in relation to records and information management.

DIRECTOR OF FINANCE AND ADMINISTRATION

The Director of Finance and Administration is the Director responsible for Council's Records Management Programs. The Records Manager is accountable to Council for the management of the program as well as ensuring Council's compliance with external recordkeeping standards, including those administered by State Records as the NSW Government's Record and Archives Management Authority. The Records Manager is responsible for making and administering arrangements for the monitoring of the program by State Records in that role, as required by s 12 (3) of the act.

OTHER DIRECTORS

Other Directors report directly to the Director of Finance and Administration Services and are responsible for the implementation and efficient operation of Council's Records Management Program and the provision of services to users.

Directors have the authority to develop standards for information management across Council; to define the rules and requirements associated with records and information management operations and record keeping systems, and to monitor compliance of information and recordkeeping practises.

Each Director is responsible for ensuring that their staff who have access to information of a confidential nature, are instructed as to their rights and obligations when dealing with such matters.

MANAGERS

Each Manager is responsible for ensuring that their staff responds to correspondence and action requests in a timely manner and that this information is also recorded in to Content Manager in accordance with protocols determined by the General Manager.

ADMINISTRATIVE STAFF

Administrative staff are responsible to the Directors for the efficient and accurate undertaking of the routine daily operations of the Information Management Systems and the friendly provision of services to internal users and external customers.

They are accountable to their supervisors for compliance with this policy and with related policies, standards and guidelines.

They have a responsibility to create records that document;

1. Decisions
2. Oral decisions and commitments, including telephone discussions.
3. Meetings.
4. Other events.
5. Business activities in which they take part.

ADMINISTRATIVE STAFF SHALL

1. Capture information by ensuring accurate registration in the Customer Request Module (CRM) and then record in Content Manager in accordance with protocols outlined by the General Manager.
2. Handle records and information sensibly and with care and respect so as to avoid damage to the records and prolong their life.
3. Not alienate, relinquish control over, damage, alter or destroy records of Council without authorisation from the General Manager.
4. Access records from within Content Manager.
5. Register information in to the Information Management System in accordance with protocols outlined by the General Manager.

The Local Government Act specifically addresses the issue of mishandling of Council records by staff(see section on Legislative Framework and Standards)

ALL OTHER STAFF

All other staff must be distributed information that may be necessary for consultation on ANY matter, in particular Occupational Health Safety and Rehabilitation. Where information or records in relation to employees are to be managed by Council they must be stored under the appropriate guidelines. Only the employee related to the information will have access to those files.

ACCESS TO COUNCIL RECORDS AND INFORMATION

1. Access will be in accordance with relevant information.
2. The Director of Finance and Administration as Public Officer and Records Manager is deemed responsible for the keeping of full and accurate records, compliance with external recordkeeping standards and internal practises. In complying with the requirements of the **Government Information (Public Access) Act (GIPA)** and the Privacy and Personal Information Protection Act, the Director of Finance and Administration and the General Manager will determine whether to authorise access or withhold information.
3. Use by the public of original records will be under direct control of the General Manager who can refuse to grant access if it is believed that the records might be damaged if issued.
4. Copying will be subject to legislative requirements, payment of fees as per the Pricing Policy and copyright restrictions.
5. The public shall not be permitted access to the Information Services section storage and staff work areas.
6. Original material must be viewed in a suitable area and must not be removed, destroyed, defaced or damaged by the public for any purposes.
7. Some records may be restricted to protect the privacy of individuals or because they are fragile and require conservation.
8. In respect to staff personnel files the following persons have access; General Manager, Director of Finance and Administration, Directors, Department Managers in relation to staff within their departments, Payroll Officers and OH&S Co-ordinators.
9. The Ombudsman Act provides for access to Council's records associated with an investigation by the Ombudsman in relation to a complaint against the Council. These requests shall be referred to the Director of Finance and Administration as Records Manager for consideration on receipt and registration.

10. No record of Temora Shire Council is to be removed or temporarily removed by any Councillor or staff member excepting those required for on site inspections, without having first obtained the consent of the General Manager or the Director of Finance and Administration as Record Manager, unless the record is required in the normal course of duty and Information Services staff are advised accordingly.
11. The Manager Information Services is to be notified whenever any physical files or records are being sent outside the organisation, i.e. To Council's solicitor.

LOCATION AND MOVEMENT OF RECORDS

The current location of Council's information is controlled by the electronic program Content Manager as well as a manual Management System.

Records of a confidential/restricted nature shall be only distributed by the person responsible for the section, or in their absence by permission of the General Manager, Director of Finance and Administration or one of the two Directors.

Records that are required for courts, solicitors, etc, must be dealt with so that the information is not lost to Council. If Council Officers are required to attend court and produce records, files and documents; consent must be obtained from the General Manager or Director of Finance and Administration.

STORAGE AND SECURITY

All Temora Shire Council records shall be appropriately stored in Council's document storage room located below the main office building to ensure their future conservation, retrieval and use. In doing so, the security, privacy and confidentiality of all records should be protected.

- All Council records shall be maintained in appropriately secured storage. Paper based records shall be housed in secure storage areas on site.
- Legal documents (e.g. Leases, contracts, deeds, certificates of title, licences, etc) are to be scanned and stored electronically in Content Manager. The original of all Legal Documents are also to be filed and held in the Legal Documents file storage area(main safe in Council Chambers) A cross-reference to where the physical document is held must be contained within Content Manager to ensure easy retrieval.
- To minimize deterioration of storage media, all Council records shall be housed in conditions appropriate to their format and use and generally in accord with the Australian Standard on Records Storage.
- Unauthorized alteration, removal, distribution or destruction of Council records is prohibited.
- Hard-copy Council records must not be left unattended in unsecured areas or vehicles. At no time should confidential records, such as personnel files or commercial contracts be left unattended in areas accessible to unauthorised personnel or persons.

- Personal computers must not be left unattended in unsecured areas without first logging out from the network connections, thus ensuring prevention of access by unauthorized users to Council information.
- All electronic records must be backed up systematically at appropriate intervals.
- Measures shall be taken to prevent the loss of records in the event of a disaster, including processes such as imaging, microfilming, off-site storage, fire-proof containment and disaster planning.

ARCHIVING, DISPOSAL AND DESTRUCTION OF RECORDS

Except for records that can be disposed of under normal administrative practice (see Guidelines on Normal Administrative Practice), staff wishing to initiate the destruction of records are required to contact the General Manager. Destruction of records is authorised under the General Disposal Authority – (GA39) under the NSW State Records Act 1998. A record must be kept detailing the date and the means by which the record was destroyed.

Records that are no longer required for current use, but have been selected for permanent retention because of their evidential or informational value are to be archived. Prior to transferring archival records, staff are required to contact the General Manager.

LEGISLATION FRAMEWORK, STANDARDS, RELEVANT EXTERNAL POLICIES AND GUIDELINES.

- State Records Act 1998
- **Government Information (Public Access) Act 2009**
- Privacy and Personal Information Protection Act 1998
- Evidence Act 1996
- Limitations Act 1969
- Public Finance and Audit Act 1983
- Local Government Act 1993
 - s12(1) What information is publicly available
 - s13 Retention and preservation of records
 - s412 Accounting Records
 - s664 Disclosure and misuse of information
 - s665 False and misleading information
 - S666 Wilful destruction of documents
- Local Government (Meetings) Amendment Regulation 1998
- Other relevant legislation

The relevant Australian Standards are:

- AS ISO 15489.1 Records Management – Part 1: General, and

- AS ISO 15489.2 Records Management – Part2: Guidelines

Related Council Documents:

- Local Government Record Keeping Manual. General Disposal Authority.
- Keyword for Councils Manual

INTERNAL RELATED DOCUMENTS

- Temora Shire Council's Quality Manual Section Fifteen-Quality Records.
- Temora Shire Council's Management Manual.
- Temora Shire Council's Strategic Management Plan.
- Temora Shire Council's Disaster Recovery and Continuity Business Plan.

DEFINITIONS

For the purposes of this Policy the following definitions apply:

RECORD

Something created and kept as evidence of agency or individual functions, activities and transactions. To be considered evidence a record must possess content, structure and context, and be part of a recordkeeping system. A record can be a document (including any written or printed material, email) or object (including sound recording, coded storage device, magnetic tape or disk, microfilm, photograph, film, map, plan or model, painting or other pictorial or graphic work) that is, or has been kept by reason of any information or matter that it contains or can be obtained from it by reason of its connection with any event, person, circumstance or thing.

STATE RECORDS

“Any records made and kept or received and kept, by any person in the course of the exercise of official functions in a public office, or for any purpose of a public office, or for the use of a public office....” (State Records Act 1998).

ELECTRONIC/DIGITAL RECORDS

Records communicated and maintained by means of electronic equipment.

LEGAL DOCUMENTS

Original legal documents, i.e. Leases, contracts, licences, deeds, certificates of title, etc.

DOCUMENTS

The smallest complete unit of recorded material which is accumulated to form a file.

ARCHIVES

Those records which are no longer required for current use, but have been selected for permanent retention because of their evidential or informational value.

EVIDENTIAL VALUE

The value for providing evidence of the origins, structure, function, policies and operations of the agency or person that created the records.

INFORMATION VALUE

The value for reference or research deriving from the information the records contain. Records and archives contain information that has reference or research uses not envisaged by their creators.

DISPOSAL SCHEDULE

A systematic listing of records created by an organization that plans the life of these records from the time of their creation to their disposal.

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.

DISASTER PLANNING

A document that sets out the measures to be taken to minimise the risks and effects of disasters.

CRM

Temora Shire Council Customer Request Module Electronic Record System.

CONTENT MANAGER

Temora Shire Councils Electronic Document Records System.

QUALITY MANUAL

Temora Shire Council's statement of Council's requirements for Quality Control.

QUALITY RECORDS

Records that are necessary to demonstrate that the required quality and the effective operation of the quality system has been achieved.

RECORDS & INFORMATION MANAGEMENT



