

Kyogle Council

DRAFT Records Management Policy



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1. Purpose

The purpose of this policy is to provide guidance and direction on the creation and management of information and records and to clarify staff responsibilities. Kyogle Council is committed to establishing and maintaining information and records management practices that meet its needs, accountability requirements and customer expectations.

The benefit of compliance with this policy will be trusted information and records that are well described, stored in known locations and accessible to staff and customers when needed.

This policy is written within the context of Kyogle Councils information and records management framework. This policy is supported by complementary policies and additional guidelines and procedures.

2. Policy Statement

Kyogle Council is committed to meeting its responsibilities under the NSW State Records Act 1998 to ensure the creation and management of authentic, reliable and useable records to support business functions and activities for as long as those records are required.

The Kyogle Council records exist across a wide range of business and recordkeeping systems that are constantly changing. Records provide evidence of actions and decisions, and represent a vital asset which supports Kyogle Council's daily functions and operations.

Records support policy formulation and managerial decision-making, protect the interests of Kyogle Council and the rights of employees, customers and citizens. Records help Kyogle Council to deliver services in a consistent and equitable way.

As a significant part of Kyogle Council's corporate memory, records enable informed decisions based on precedents and organisational experience.

They support consistency, efficiency and productivity in program delivery, management and administration. Those records kept as archives form part of the council's cultural heritage.

3. Validity

This report gains its validity from _____

Scope

This policy applies to Kyogle Council staff and contractors, to all aspects of the Councils business and all business information created and received. It covers information and records in all formats including documents, email, voice messages, memoranda, minutes, audio visual materials and business system data. The policy also covers all business applications used to create, manage and store information and records including the official records management systems, email, websites, social media applications, databases and business information systems. This policy covers information and records created and managed in house and off site.

4. Definitions

Refer to Schedule 1 for list of definitions

5. Related and associated legislation, council policy and procedures

5.1. Relevant Legislation and Guidelines

Records held by Council include, but is not limited to;

- The State Records Act 1998
- The NSW Public Sector Code of Conduct
- Public Service Act 1999
- The Local Government Act
- Government Information – Public Access (GIPA) Act 2009
- Privacy & Personal Information Protection (PPIP) Act 1998
- Archives Act 1983

5.2. Policies

This policy should be applied in conjunction with the following policies:

- Code of Conduct
- Privacy Management Policy
- Complaint Handling Policy
- Media Relations Policy
- Councillors Record Management Policy
- Email and Internet Usage Policy

5.3. Procedures

This policy should be applied in conjunction with the following procedures:

- Records Management Plan
- ECM User Manual
- Trapeze Capture User Manual
- Kyogle Council register of internal procedures
- Government Record Keeping Manual
- General Retention and Disposal Authority for Local Government Records (GA39)

6. Responsible Officers

General Manager

Under the State Records Act (Part 2 -10) the General Manager is responsible for ensuring that Kyogle Council complies with the regulations and requirements of the act.

Executive Managers & Managers

Managers have to actively ensure that all recordkeeping policies and procedures are followed within their sections.

Records Officer

The Records Officer will provide recordkeeping guidance and training to other Council staff as required. The officer will register all incoming correspondence that is received by Council via post, email, fax or other means into the appropriate systems and allocated this correspondence electronically. The officer is responsible for the archiving and disposal of Council records in compliance with State legislation.

Information Technology Officer

The officer is responsible for ensuring the reliability and continuing operation and full functionality of the current supported records management platform. The officer ensures routine and comprehensive system backups of data are performed, and are responsible for the migration of digital records/metadata in line with State Records Standard.

All Staff

All employees are responsible and accountable for keeping complete and accurate records of their activities. This includes using the appropriate systems as required by the organization.

7. Managing Records and Information

7.1. Systems

The primary recordkeeping system of Kyogle Council is the Electronic Document Management System known as Dataworks. This system is the internal recordkeeping system where all corporate digital records must be captured and stored.

Paper files are created and maintained for only certain classes of records and are only undertaken with prior approval from the Records section.

While the Electronic Document Management System is the primary recordkeeping system, it is recognised that Council maintains many

propriety systems for specific functions throughout the organisation and the information in these systems also constitute a record.

Records should not be maintained in shared areas such as network directories as this storage does not contain recordkeeping functionality to ensure that records will be captured and maintained and access is provided as required.

7.2. Creation of Records

All Council staff and contractors are required to create records that accurately document the business activities of their office through use of the approved Electronic Document Management System, or other recordkeeping systems as approved by the Records Officer.

7.3. Disposal and Destruction of records

The disposal and destruction of records will be carried out in accordance with the General Retention and Disposal Authority for Local Government Records (GA39) as authorised by the State Records Authority.

Records staff will be trained in the sentencing of records in accordance with the GA39 and determine the suitability of a record for destruction or disposal, oversee the destruction and disposal of all records, and maintain a complete index of such records to meet compliance with the State Records Act 1998.

The disposal and destruction of records will occur only with the authorisation of the Executive Manager of Administration and Community.

7.4. Access To Records

Information and records are a corporate resource to which all staff may have access, except where the nature of the information requires restriction. Access restrictions should not be imposed unnecessarily but should protect individual staff or customer privacy, and sensitive material such as security classified or material with dissemination limiting markings.

7.5. Protection of Records

Under the State Records Act 1998, council records are State records. Staff must not relinquish control over, damage, alter or destroy records of Kyogle Council without authorisation.

Records must be appropriately maintained, stored and preserved for the period of retention. Staff are to handle records sensibly and with care and respect so as to prolong their lifespan.

8. Training

Staff responsible for Records Management should receive appropriate training in Records Management. Other staff should receive training on the

operation of the records management system and their records management responsibilities.

All new staff are trained as part of their induction in Council's record system and the use of Dataworks. One on One training is available upon request with the Records Officer. This training is encouraged so as to ensure users of the system are fully up to date with its capabilities and are using the system to its advantage.

9. Monitoring and Review

Regular monitoring of the Records Management program is undertaken by the Nominated Senior Officer. Employee workflows and task lists are monitored on a weekly basis and any outstanding correspondence is followed up for completion.

This policy will be updated as needed if there are any changes in the standard or legislative obligations. This review will be initiated by the Nominated Senior Officer and conducted by an internal committee of Senior Management.

10. Endorsement

This Records Management Policy is to be endorsed and supported by Senior Management and distributed across the organisation to staff.

Schedule 1

DEFINITION OF TERMS

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| Business Activities | All functions, processes, activities and transactions of Council and its employees |
| Dataworks | The electronic management system used by Kyogle Council to record and register incoming and outgoing documents and the audit trail of the auctioning of all registered incoming documents. |
| Record | Recorded information, in any form, including data in computer systems, created or received and maintained by an organisation or person in the transaction of business or the conduct of affairs and kept as evidence of such activity. |