MURRAY RIVER COUNCIL
OPERATIONAL POLICY

DRAFT
INFORMATION
&
RECORDS
MANAGEMENT
POLICY

POL-207.V#2

murray river
council

1. INTRODUCTION

This Information & Records Management Policy (the 'Policy') is to ensure the safe custody and proper preservation of Murray River Council (the 'Council') records as required by legislation.

As a public authority, Council has obligations under the State Records Act 1998 to maintain recordkeeping compliant with that Act. Council must ensure:

‣ Records are made;

‣ Records are accurate;

‣ Records are authentic; and

‣ Records have integrity.

2. OBJECTIVES

The purpose of this Policy is to ensure that full and accurate records of all activities and decisions of Council are created, managed, and retained appropriately, and in accordance with relevant legislation. This will enable Council to achieve accountability and ensure that Council employees can easily access information, and the rights and interests of the organisation, its employees, customers, and the community are protected.

3. SCOPE

All Council Officers - employees, contractors, volunteers, and consultants must comply with this Policy and the associated Information and Records Management Business Rules, Procedures and Disposal Procedures in their conduct of official business for Council.

This Policy applies to records in all formats, including electronic records.

4. LEGISLATION

Council is committed to promoting consistency and accountability by managing its records in accordance with the following legislation and regulations:

‣ Archives Act 1983 (CTH)

‣ Copyright Act 1968 (CTH)

‣ Electronic Transactions Act 2000 (NSW)

‣ Environmental Planning & Assessment Act 1979 (NSW)

‣ Evidence Act 1995 (CTH)

‣ Government Information (Public Access) Act 2009 (NSW) (GIPA)

‣ Health Records Information Privacy Act 2002 (NSW) (HRIPA)

‣ Limitation Act 1969 NSW)

‣ Local Government Act 1993 (NSW)

‣ Privacy & Personal Information Protection Act 1998 (NSW) (PPIPA)

‣ Public Service Act 1999 (CTH)

‣ State Records Act 1998 (NSW) (including standards and retention & disposal authorities issued under the Act)

‣ Work Health & Safety Act 2011 (NSW & CTH)

5. POLICY STATEMENT

Council is committed to:

▸ Meeting its responsibilities under the <u>State Records Act 1998</u> and relevant standards;

▸ Implementing best practice in its information and records management system;

▸ Continuing to utilise an effective Recordkeeping system as its electronic document record management system (EDRMS); and

▸ Ensuring that recordkeeping systems used will support records that are full and accurate, authentic, accessible, reliable and useable and which are secure against unauthorised alteration and destruction.

Council recognises that records are a vital asset for ongoing operations, providing valuable evidence of business activities and decisions.

5.1 Information management / Recordkeeping systems

The management of records is an essential part of any organisation, and a well organised record system not only provides a capable and cost effective service for the general public, but also provides an effective and efficient workflow system for employees. Good record management practices are vital for the ongoing day-to-day Council business activities and for internal and public accountability.

Council records are both electronic and paper and they need to fully support Council's business activities, accountability and cultural and historical heritage. Council uses an EDRMS for storage of electronic records. The EDRMS is used to manage the registration, tracking, retrieval, workflow, security, storage and archiving of Council's files and documents.

A comprehensive Information and Records Management Program is being developed to ensure that Council follows sound procedures for the creation, maintenance, retention and disposal of records and meets its legislative responsibilities in respect to information and records management.

Council's record management is concerned with:

▸ Managing records from the time they are created, for as long as they are required;

▸ Designing and managing systems to ensure that records are authentic and reliable;

▸ Providing a service to meet the needs and protect the interests of the organisation, its employees, and its clients;

▸ Capturing complete, accurate, reliable, and useable documentation to meet accountability requirements; and

▸ Managing records as an asset and information resource.

The major activities within Council's record management are detailed in the <u>Information Management Business Rules</u> document and can be summarised as follows:

5.1.1 The capture of records

Ensuring that all activities that need to be documented are captured as records and stored physically or electronically, regardless of their format. These records must be accurate and authentic with procedures in place to ensure their integrity.

5.1.2 Control and accessibility of records

Establishing physical and intellectual control over records once they have been created to ensure that they can be easily found, retrieved and used and ensuring that records are easily accessible to users within and outside the organisation.

Unauthorised access, alteration, deletion or destruction of records is forbidden.

5.1.3   Appraisal and disposal of records

Ensuring that record disposal is carried out systematically and in a controlled manner in accordance with Council's disposal procedures, in conjunction with General Retention and Disposal Authority for Local Government Records GA39, NAP (Normal Administrative Practice) and General Retention and Disposal Authority for imaged records GA36.

5.1.4   Maintenance of records

Ensuring that records are protected, preserved, housed appropriately and managed for as long as they are required, including maintaining the authenticity and integrity of records and restricting access to confidential files.

5.2   Depository for corporate records

The EDRMS is Council's main depository for corporate records, however, it is not the only depository. Other areas of Council's corporate records include:

‣ Technology One, Civica Authority, GIS, MapInfo, IntraMaps and other software programs

‣ On-site hardcopy records including legal documents, development applications, maps and plans, and personnel records

‣ Records storage shed houses archived old general files and records awaiting disposal

‣ Off-site State Records housed at Wagga Wagga Storage Repository and old personnel files awaiting disposal.

Adherence to Council's Record Management Program will ensure that all record obligations are met. The Information and Records Management Program has been designed to support the principles of State Records Standard No. 12, namely:

‣ Is directed by policy;

‣ Is planned;

‣ Is staffed with skilled people;

‣ Is implemented; and

‣ Is monitored and reviewed.

6.   RESPONSIBILITIES

This Policy applies to all Council employees engaged in any business and administrative functions for Council (regardless of physical location), including Councillors.

Position	Responsibility
Chief Executive Officer	Ensures that Council complies with: ‣ the requirements of the State Records Act 1998 and the standards and requirements issued under the Act. ‣ other legislation relating to information and records management and recordkeeping.
Director Corporate Services	‣ Ensures that information and records management is adequately resourced. ‣ Represents information and records management interests at the Management Executive (ELT) level. ‣ Ensures Council's compliance with the *State Records Act 1998* and the standards and requirements issued under the Act. ‣ Is the Senior Responsible Officer (SRO) within the organisation

	who has been assigned strategic and managerial responsibility for records and information management. The SRO is responsible for ensuring that records and information management is in place and operating effectively to support business operations.
Records Team Leader	‣ Ensures that Council protects State Records in its control and maintain accessibility to equipment/technology dependent records and assist with providing an effective disaster recovery plan to protect Council's vital records.
	‣ Responsible for the review of Council's Record Management Program annually, or as required by the introduction of, or changes in, legislation, technology and regulations.
	‣ Operationally responsible for the efficient management of Council records (physical and electronic) incorporating sound record keeping principles and information and records management best practice guidelines.
	‣ Identifies Council's vital records – creating and maintaining a register of such records.
	‣ Provides assistance to Council employees in fulfilling their record keeping responsibilities and to provide advice and training as an ongoing process. The Records Team Leader is responsible for the training of all new employees and to ensure that follow-up training is given to all employees as needed.

Managers and Staff	‣ Managers and staff, as public sector employees, need to be aware of record keeping requirements that affect the performance of their duties and maintain confidentiality of Council records, where appropriate.
	‣ Have responsibilities to report and capture corporate memory. Staff that are allocated a EDRMS user profile are expected to comply with Council's *Information Management Business Rules*. In particular, they are expected to be able to:
	▪ manage their 'In or Due Tray';
	▪ register corporate record documents (paper or electronic) that they receive into the recordkeeping systems;
	▪ workflow a document to another staff member;
	▪ effectively search for information in EDRMS;
	▪ make records to support the conduct of their business activities;
	▪ learn how and where records are kept within Council;
	▪ not destroy Council records without authority from the Records Officer;
	▪ not lose records or transfer possession or ownership of records;
	▪ be aware of record management procedures
	▪ files must be returned to the Records Officer as soon as action on the file is completed;
	▪ must not alter or damage a State Record; and
	▪ must use naming conventions as per Council's Information Management Business Rules.

7. EVALUATION AND REVIEW

It is the responsibility of the Records Team Leader, in conjunction with the Senior Responsible Officer, to monitor the adequacy of this Policy and recommend appropriate changes.

This Policy will be formally reviewed every four (4) years or as needed, whichever comes first.

8. ASSOCIATED DOCUMENTS, DEFINITIONS & ACRONYMS

‣ Public Sector - Code of Ethics and Conduct

‣ NSW Ombudsman - Good Conduct & Administration Practice: Guidelines for Public Authorities & Officials

‣ NSW State Records - Guideline 3 – Destruction of records

‣ AIIM (Association for Information & Image Management) - Approach to Information Governance ARMA International (2009)

‣ Australian Standard ISO 15489 - Information & Records Management

‣ Australian Standard ISO 16175 - Digital Information & Records Management Systems

‣ Australian Standard ISO 23081 - Metadata for Records

‣ MRC Policy - Code of Conduct (POL100)

- MRC Policy - Information Security Policy (To be Adopted)

- MRC Policy - Privacy Management Plan (POL206)

- MRC Framework - Information Governance Framework

- MRC Plan - Information & Records Management Strategic Plan (To be Adopted)

- MRC Procedure - Information Management Business Rules

- MRC Procedure - Security & Access Procedures

- MRC Procedure - Archiving & Disposal Procedures

Definitions

Term	Definition
Council Officer	An officer is defined as being one of the following**:** ▶ An employee, or ▶ A contractor or subcontractor, or ▶ An employee of a contractor or subcontractor, or ▶ An employee of a labour hire company who has been assigned to work in the person's business or undertaking, or ▶ An outworker, or ▶ An apprentice or trainee, or ▶ A student gaining work experience, or ▶ A volunteer

9.   DOCUMENT CONTROL

Version No.	Details	Dates	CM9 Reference	Resolution No.
1	Initial Issue	15 Sept 2017 to DRAFT	VF/17/102820	N/A
2	Reviewed	DRAFT	VF/17/102820	N/A
This policy was adopted by the Chief Executive Officer, Terry Dodds			Date:	

Council reserves the right to review, vary or revoke this policy at any time
This Policy is scheduled for review in before 2026

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