



Agriculturally rich-Naturally beautiful

COUNCIL POLICY

Records Management Policy

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| Policy Number: | PO063 | | |
| Strategic Plan Objective | Meet all legislative requirements and compliance with councils internal controls | | |
| Policy Owner: | Director Corporate and Community Services | File Number: | 16/14037 |
| Responsible Officer: | Manager Business and Public Relations | Minute Reference: | 257/2016 (14/12/2016) |
| Date Adopted: | 14 December 2016 | Next Review Date: | March 2018 |

1. POLICY OBJECTIVES

- 1.1** The objective of this policy is to outline and direct the practices of the staff, elected members, consultants and contractors of the Yorke Peninsula Council (YPC) in relation to the management of its records. Records of YPC are created and received as a result of internal activities, interaction with residents and ratepayers, clients, other agencies, government departments and businesses.
- 1.2** The YPC has an obligation under the *South Australian State Records Act 1997*, *Local Government Act 1999* and *Freedom of Information Act 1991* and other relevant legislation to create, manage, maintain and provide timely access to information.
- 1.3** Adherence to this Policy will ensure YPC is able to:
- Meet its legislative responsibilities;
 - Provide an efficient and effective working environment;
 - Provide evidence of business transactions and accountability;
 - Validate and support their decisions and actions; and
 - Protect their interests and those of Council.

2. SCOPE

This Policy applies to all:

- Business functions and activities of the YPC;
- Records created and stored in all formats; and
- Elected Members, Staff, volunteers, consultants and contractors

3. DEFINITIONS

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| Access | Rights, opportunity, means of finding, using or retrieving information. [AS ISO 15489.1 – 2002] |
| Capture | Deliberate action that results in the registration of a record into a |

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| | recordkeeping system. For certain business activities, this action may be designed into electronic systems so that the capture of records is concurrent with the creation of records. |
| Classification | Systematic identification and arrangement of business activities and / or records into categories according to logically structured conventions, methods, and procedural rules represented in a classification system. [AS ISO 15489.1 – 2002] YPC Classification Scheme |
| Container | An electronic file within HP RM |
| Disposal | Range of processes associated with implementing appraisal decisions. These include the retention, deletion or destruction of records in or from recordkeeping systems and the transfer of custody of ownership of records. |
| Disposal Schedule General (GDS) | Formal instrument that defines the retention periods and consequent disposal actions authorised for classes of records that are common to agencies of Government |
| HP RM | HP Records Manager – Council’s Electronic Document & Record Management System |
| Record | Information created, received and maintained as evidence and information by an organisation or person, in pursuance of legal obligations or in the transaction of business. [AS ISO 15489.1 - 2002 |
| Records Management | The discipline and organisational function of managing records to meet operational business needs, accountability requirements and community expectations. [AS ISO 15849.1 - 2002 |
| Recordkeeping | Making and maintaining complete, accurate and reliable evidence of business transactions in the form of recorded information. |
| Recordkeeping System | Information system that captures, manages and provides access to records through time. |
| Stakeholder | Client, customer, organisation, other agency or government department who conducts business and/or has a relationship with Council. |
| YPC | Yorke Peninsula Council |
| YPC staff | Includes persons employed by the YPC, volunteers, trainees, work experience placements, independent consultants and contractors and other authorised personnel who access the YPC’s information resources as part of their role. |

4. RESPONSIBILITIES

4.1 Chief Executive Officer

The Chief Executive Officer of the Yorke Peninsula Council is responsible under *Local Government Act 1999* to ensure that:

- Records required under this or another Act are properly kept and maintained.
- Appropriate and prompt responses are given to specific requests for information.
- The authorisation of the alteration and validity of records occurs.
- The disposal of records that are due for disposal under State Records General Disposal Schedule (GDS) 20 or any other relevant schedule and are no longer required by the Business is authorised.

4.2 Directors and Managers

The Chief Executive Officer, Directors and Managers are responsible for the YPC meeting its records management compliance requirements by ensuring:

- Records management policy and procedures are included in induction training;
- Recordkeeping responsibilities are included in job and person specifications; and.
- Staff adhere to the records management policy and procedures.

4.3 Records Management Staff

Records Management staff are responsible for the management and maintenance of the records management framework by:

- Making and implementing recordkeeping decisions such as capture, classification, access, storage and disposal in relation to the records of the YPC;
- The development and review of records management policies, procedures and guidelines;
- Reporting on the recordkeeping programme, system (HP RM) and practices of staff; and
- Providing advice on the use of the records management system (HP RM) and processes to managers and staff.

4.4 Staff, Consultants and Contractors

It is the responsibility of all staff, contractors and consultants to adhere to this Policy by:

- Creating adequate records that reflect the decisions made and action taken;
- Capturing records into the records management system (HP RM);
- Protecting records from damage or loss by ensuring they are captured in the appropriate system or stored in the correct environment;
- Not altering, removing, destroying or deleting records without proper authority to do so;
- Ensuring all activity carried out on records is recorded and maintained;
- Ensuring the integrity of the YPC is maintained;
- Protecting the privacy of individuals in relation to personal information contained within records; and
- Ensuring all records created and managed in the conduct of business are the property of the YPC form part of the record holdings.

4.5 Elected Members

All Elected Members have a responsibility to adhere to the Policy Statement and ensure application of the policy.

5. POLICY STATEMENT

The records resulting from the business activities of the YPC will be created, received, captured and managed, and be available and readable for the life of the record, to :

- Protect the integrity;
- Enhance the efficiency; and
- Preserve the history and provide a business context of the YPC.

Business activities include decisions made, actions taken and interaction with stakeholders.

5.1 Creation

Records will be created where there is a legislative, business, fiscal, stakeholder or risk based requirement to document evidence of a transaction, decision, action or communication. When records are created they will be complete, accurate and accessible for the life of the record.

5.2 Capture

Records in all format, including emails, will be captured into the records management system HP RM, as soon as practicable after creation or receipt. The containers will be classified and grouped using the YPC functional classification scheme. Records will not be stored on personal devices, drives (both personal or Network) or Outlook accounts.

5.3 Integrity

The integrity of the records of the YPC will be maintained by ensuring:

- Records are current, locatable, unaltered;
- Duplicates are controlled;
- Versions are managed;
- Derogatory or negative opinions regarding a person or group should not be recorded;
- Storage is appropriate for the record and its format;
- Additional information regarding an action or decision is recorded; and
- Migration and conservation are managed to ensure accessibility and readability for the life of the record.

5.4 Access

Access to information will be controlled in line with the requirements of the YPC, both internal access by staff and external access by stakeholders. This includes the protection of personal, confidential and sensitive information from internal and external access, and the proactive disclosure of publicly available information as required.

Whilst the Information Privacy Principles, *Privacy Act 1988* and the National Privacy Principles are not applicable to the YPC, the principles should be used as a guide in the collection, storage, use and disclosure of personal information.

5.6 Disposal

Records must only be disposed of in accordance with the authorised disposal schedules (General Disposal Schedule 20 and other applicable schedules at the time of disposal), as prescribed by the *South Australian State Records Act 1997*.

6. COMPLAINTS

If a member of staff wishes to make a complaint about a breach of this Policy, they should do so in writing to the Director Corporate and Community Services, outlining who the individual is, the alleged breach(es) and outlining any evidence they have. The Director C&CS will then instigate an internal investigation to verify the breach(es) before determining the most appropriate course of action (if any).

7. REVIEW

This policy will be reviewed every 3 years and as necessary in consideration of any changes to legislation and relevant standards, codes and guidelines.

8. TRAINING

Council is committed to supporting employees and Elected Members in complying with this policy. All staff and Elected Members will be inducted and trained in the requirements of adequate records management.

9. RELATED COUNCIL POLICIES AND DOCUMENTS

PO147 Process for Managing Complaints

10. REFERENCES AND LEGISLATION

10.1 Staff and Elected Members have an obligation under the *South Australian State Records Act 1997*, *Local Government Act 1999*, *the Freedom of Information Act 1991* and other legislation to create and manage documents and records.

10.2 The Policy is to be read and implemented in conjunction with relevant legislation, standards and policies, including:

- The State Records Act 1997
- Freedom of Information Act 1991
- Local Government Act 1999
- Australian Records Management Standard AS ISO 15489-2002

11. COUNCIL DELEGATION

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| Delegate: | Chief Executive Officer |
| Sub Delegate: | Director Corporate & Community Services |

12. VERSION HISTORY

| Archived Policy Name | Policy Number | Date Adopted | Last Reviewed |
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PO063 – Records Management Policy

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| Records Management Policy | PO063 | 13/03/2013 | 5/03/2015 |
| Records Management Policy | PO063 | 07/04/2003 | 08/06/2010 |
| Corporate Document Management | PO018 | 07/04/2003 | 08/06/2010 |
| Corporate Document Management | PO018 | 07/04/2003 | 08/06/2010 |
| Correspondence – Anonymously Received | PO020 | 07/04/2003 | 08/06/2010 |
| Incoming Correspondence Received Personally by Elected Members or Staff | PO036 | 07/04/2003 | 08/06/2010 |
| Password Protected Documents | PO053 | 07/04/2003 | 08/06/2010 |
| Records Management Policy | PO063 | 13/03/2013 | 11/03/2015 |
| Records Management Policy [v4] | PO063 | 14/12/2016 | 25/11/2016 |