INFORMATION MANAGEMENT (Recordkeeping)

Policy | Information Management

To ensure effective management of Councils Records

REVOKED

Policy No:	POL/8005	**Version:**	5
Service Unit:	Information Management		
Responsible Officer:	Manager Corporate and Community Services		
Responsible Director:	Director Business and Community Services		
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1 Background

All government agencies, public officials and staff are accountable for their actions in a variety of ways. Recordkeeping is a key component of accountability as it provides evidence of what has happened and why particular decisions have been made. Increasingly, NSW Government agencies, State and Local are conducting business and providing services to the community in the electronic environment. This shift, along with the huge increase in the quantity of records generated and the length of time these records must be kept, has profound implications for Council recordkeeping and the management of Council information.

1.1 Title of the Policy and Commencement Date

The Information Management (Recordkeeping) Policy takes effect from the date of adoption by Council.

1.2 Purpose of the Policy

The purpose of this policy is to ensure Singleton Council's recordkeeping practices and procedures are in compliance with all legislative and statutory requirements and enhance the effective and efficient management and retrieval of information held by Council. Further the policy endeavours to establish a framework and assign accountabilities for the management of Council's records throughout their entire life cycle, that is, from the time of their creation (and before creation, in the design of effective recordkeeping systems), through to the destruction or preservation and use of records as archives.

This includes all forms of information whether paper based or electronic.

2 Objective

2.1 Objectives and Coverage of the Policy

The Information Management (Recordkeeping) Policy supports the objectives of the *State Records Act, 1998* based on national and international best practice. As assets of the Council, records play an essential role in enabling the organisation to carry on its business efficiently and to deliver services to its customers. Records also contribute to the local cultural heritage as well as providing evidence of government accountability to the people of Singleton. Singleton Council's Record Management Program is designed to control, facilitate access, store and dispose of records in accordance with all legislation, in an efficient and effective manner no matter what format they take. The policy thus aims to:

- Ensure more effective management of the Council's records;
- Promote a more efficient and accountable organisation through improved recordkeeping;
- Provide better protection for an important part of the local cultural heritage;
- Reduce the ill-informed destruction of essential information; and
- Increase the capture and retention of corporate memory, knowledge and expertise within Singleton Council.

3   Application

3.1   Application of this Policy

The Record Management Program is a planned and coordinated set of procedures, guidelines and systems to manage the information of Singleton Council.

The objectives to be achieved through the program are that:

- Singleton Council's records are managed as efficiently and effectively as possible;
- Singleton Council has the records it requires to support ongoing business activity and customer services, meeting accountability requirements and community expectations;
- Singleton Council's records can be retrieved and used to meet the above needs; and
- Singleton Council complies with the *State Records Act, 1998* and other external requirements.

The Coordinator Information and Customer Service manages the Records Management Program. The Coordinator Information and Customer Service is also responsible for the development of program performance indicators and for the development of the information management strategic plan. The

Coordinator Information and Customer Service will undertake regular monitoring and reviews of the program, with the results being reported to the Manager Corporate and Community. Roles and responsibilities relating to recordkeeping and information management for staff are set out in section 9.

4   Definitions

For the purpose of this policy statement a record is:

"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".

Australian Standard ® Records Management AS 4390

Records may take the form of correspondence between Council and its stakeholders, internal memoranda, minutes of meetings, reports, project documentation, budget papers, submissions, completed forms, data collected in the context of the Council's business and details of business transactions between the Council and its customers.

5   Principles/Body

5.1   Procedural Statement

All practices and procedures concerning recordkeeping and records management within Singleton Council are to be in accordance with this policy. This includes the Council's information management and business specific systems that incorporate recordkeeping and records management functions.

Singleton Council has responsibilities under various Acts in regards to its recordkeeping practices and procedures. These Acts have been used to develop comprehensive tools to be used in the act of recordkeeping within the Council.

All staff are responsible for the recordkeeping role of their position in conjunction with the Coordinator Information and Customer Service. See Section 9 - Roles and Responsibilities.

All records in any format sent to or created by council will be treated in accordance with Singleton Council's Records Management Practices and Procedures.

The Information Management (Recordkeeping) Policy should be applied in conjunction with the State Records Authority's Policy on Electronic Recordkeeping, and the Policy on Electronic Messages as Records.

6   Relevant Legislation

Environmental Planning and Assessment Act, 1979 (NSW)

Evidence Act, 1995 (NSW)

Government Information (Public Access) Act, 2009 (NSW)

Health Records and Information Privacy Act, 2002 (NSW)

Local Government Act, 1993 (NSW)

Privacy and Personal Information Protection Act, 1998 (NSW)

State Records Act, 1998 (NSW)

State Records Regulation, 2010 (NSW)

Copyright Act, 1968

7   Document Information

Related documents and reference information in this section provides a single reference point to develop and maintain site compliance information.

7.1   Related Documents

Related documents, listed in *Table 7-1* below, are internal documents directly related to or referenced from this document.

Number	Title
20/9322	Procedure - Content Manager - Business Rules for Recordkeeping - Capturing Documents
	Australian Standard – Records Management AS 4390

Table 7-1 – Related documents

8   Responsible Officer / Policy Owner

Ownership of this policy rests with the Coordinator Information and Customer Service.

9   Responsibilities

Parties or Persons	Responsibilities
General Manager	• The Act places on the General Manager a duty to ensure that the Council complies with its requirements, and with those of any relevant Regulations
Director Business and Community	• Planning, leading and managing the Corporate Services Group which is charged with the responsibility for Information Management at the corporate level
Manager Corporate and Community	• Planning, leading and managing the Information Services Program Area which is charged with the responsibility for Information Management (Recordkeeping) at the senior management level.
Coordinator Information and Customer Service	• Ensures compliance with all Acts and Standards relating to recordkeeping within Local Government
Information Management Officers	• Duties of the day to day implementation of the Records Management Program • Implementation of the policy and practices and ensuring information • Notify the Coordinator Information and Customer Service of any problems or breaches that may occur
Councillors	• Councillors have an obligation to create and maintain records to support their actions and decisions
Individual Staff	• Every staff member has an obligation to create and maintain records to support their actions and decisions

10   Approval

As per cover sheet.

11   Monitoring

This policy will be monitored by the Coordinator Information and Customer Service on a quarterly basis through reports from the CM9 system and actions completed as part of Singleton Council's Delivery Program and Operational Plan.

12   Review Date

This policy, once adopted, is to remain in force until it is reviewed by Council. This policy is to be reviewed approximately every two (2) years to ensure that it meets legislative requirements.

13   Last Review Date

February 2018

14   Record Keeping, Confidentiality and Privacy

This policy is to be made available for public viewing as required under the *Government Information (Public Access) 2009, NSW*.

15   Breaches and Sanctions

Any breaches of this Policy will be referred to the General Manager for appropriate action.