

## POLICY DOCUMENT

13.63.3

<b>Policy Name</b>	<b>RECORDS MANAGEMENT POLICY</b>
<b>Policy No.</b>	13.63.3
<b>Version:</b>	2
<b>Strategic Reference:</b>	3.5 Implement Business Excellence and continuous improvement, including service reviews for relevance, efficiency and effectiveness
<b>Responsible Department:</b>	Corporate & Community Services
<b>Policy Adopted:</b>	27 June 2022
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<b>Minute reference:</b>	CO 22/074
<b>Next review date:</b>	Council will endeavour to review this policy 4 years after adopted date or following significant change to legislation or aspects included within this policy.
<b>Applicable Legislation:</b>	Local Government Act 1999 State Records Act 1997
<b>Related Policies:</b>	12.63.12 Code of Conduct for Council Employees 9.63.3 Code of Conduct for Elected Members N203382 Corporate Policy – Source Records
<b>Related Documents:</b>	General Disposal Schedule GDS40  City of Port Lincoln Records Management Manual & Procedures  City of Port Lincoln Job and Person Specifications  LGA Records Management Model Policy

### 1. INTRODUCTION

The *State Records Act 1997* ("the Act") governs the obligations and responsibilities of Councils in relation to the management of official records. Under this Act, each Council has an obligation to maintain official records in its custody in good order and condition. This obligation applies not only to the capture, storage, maintenance and disposal of physical records, but also to records in electronic format.

An official record is defined in section 3 of the Act to mean a record made or received by the Council *in the conduct of its business*.<sup>1</sup> This means that, because Council Members and staff of the Council variously act as representatives of the Council, any record created, sent, received, forwarded or

<sup>1</sup> See the statutory definition of "official record" set out on page 3 of this Document for exceptions to this definition.

transmitted by Council staff and/or Council Members in the performance and discharge of their functions and duties may be classified as an official record. However, records that are merely transitory, temporary, personal or private in nature will fall outside the definition of “official records”.

The establishment of an effective and efficient record keeping environment ensures standardisation, protection and retrieval of information improving levels of quality customer service.

Good records management is of key importance to good governance. Records are vital ingredients in the support of the Council’s ongoing business activities. The Council is committed to managing its records of continuing value and their timely transfer to the State Records Office in accordance with the Act, and best practice standards.

In addition to its record management obligations under the Act, the Council is obliged to keep adequate records in order to fulfil its responsibilities under other Acts such as the *Freedom of Information Act 1991*, as well as fulfilling legal processes, such as discovery and subpoenas. Records may also be required by Royal Commissions, the Ombudsman, the Courts, auditors and other people or bodies.

This Policy provides the procedural framework for the Council to effectively fulfil its records management obligations and to meet the statutory requirements upon it.

## 2. DEFINITIONS

**Continuing Value** – records of continuing value are those that contain information that is of administrative, legal, fiscal, evidential or historical value to the Council.

**Council Business** – may include the provision of services, delivery of programs, development of policies, making of decisions, performance of Council functions and other similar types of transactions.

**Council staff** – includes persons employed by the Council, volunteers, trainees, work experience placements, independent consultants and contractors and other authorised personnel offered access to the Council’s resources.

**Dispose of** – to dispose of an official record means to:

- destroy or abandon the record;
- carry out an act or process as a result of which it is no longer possible or reasonably practicable to reproduce the whole or a part of the information contained in the record; or
- transfer or deliver ownership or possession of or sell the record, or purport to do so,

but does not include to transfer or deliver the record to the State Records Office or between the Council and another agency.<sup>2</sup>

**Temporary/Transitory Record** – a record is transitory or temporary in nature if it is of little or no continuing value to the Council and only needs to be kept for a limited or short period of time, such as a few hours or a few days.

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<sup>2</sup> See definition in section 3(1) of the State Records Act 1997.

**Normal Administrative Practice** – Normal Administrative Practice provides for the routine destruction of drafts, duplicates and publications, with the test that it is obvious that no information of more than transitory or temporary value to the Council will be destroyed. Material that can be disposed of under Normal Administrative Practice comprises items of a temporary or transitory nature created, acquired or collected by Council staff or Council Members in the course of their official duties. Such material has no ongoing value and is not usually incorporated into the Council's record management system.

**Record** – a record means:

- written, graphic or pictorial matter; or
- a disk, tape, film or other object that contains information or from which information may be reproduced (with or without the aid of another object or device).

**Official Record** – a record made or received by the Council in the conduct of its business, but does not include:

- a record made or received by an agency for delivery or transmission to another person or body (other than an agency) and so delivered or transmitted; or
- a record made by an agency as a draft only and not for further use or reference; or
- a record received into or made for the collection of a library, museum or art gallery and not otherwise associated with the business of the agency; or
- a Commonwealth record as defined by the Archives Act 1983 of the Commonwealth or an Act of the Commonwealth enacted in substitution for that Act; or
- a record that has been transferred to the Commonwealth.<sup>3</sup>

### **3. PURPOSE OF THIS DOCUMENT**

The purpose of this policy is to establish a framework for the implementation and maintenance of an appropriate records management system. The Council operates in an accountable and community orientated environment and is committed to maintaining a records management system that meets its business needs as well as its legal and accountability requirements.

### **4. SCOPE OF THIS DOCUMENT**

This policy applies to all Council business, including electronic business. It concerns records, which are created, collected, processed, used, sentenced, stored and disposed of in the conduct of official business. It applies to all Council staff and Council Members.

Electronic communications which are relevant to the information gathering, policy formulation or decision-making processes of Council are part of the scope of this Document. Electronic messages, which document business activity, should be captured into Councils records management system. All procedures and records management systems are to be consistent with this policy.

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<sup>3</sup> See definition of "official record" in section 3(1) of the State Records Act 1997.

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## 5. **OBJECTIVES OF THE RECORDS MANAGEMENT SYSTEM**

To ensure that the management of the Council's information resources and records management system provide timely and comprehensive information to meet operational business needs, accountability requirements and community expectations.

To ensure the preservation of the Council's "*corporate memory*" through sound record keeping practices and the accurate capture of information to meet legal, evidential and accountability requirements.

## 6. **OBLIGATIONS OF RECORDS USERS**

Council staff and Council Members must not intentionally damage, alter, dispose of or remove official records of the Council without authorisation to do so. Council staff and Council Members are required to handle Council records with care and respect in a sensible manner to avoid damaging records and with a view to prolonging their life span. Council staff and Council Members must not eat, drink or smoke near Council records or in records storage areas.

Council staff and Council Members must ensure that Council records in any format, including electronic documents and electronic messages, which they personally receive or send will be captured into the Council's record keeping system. Records must be readily accessible to meet business and accountability requirements.

Council staff are required to follow authorised procedures in carrying out records management functions.

Electronic records are to be captured and maintained as functioning records by preserving their structure, context and content. In order to maintain their value as evidence, electronic records must be inviolate. That is, they cannot be altered or manipulated for as long as they are retained.

Council staff or Council Members who do not comply with this Policy and Records Management procedures, may be subject to disciplinary action, and/or subject to criminal or civil proceedings. Council Members and staff should report breaches of this Policy to the Manager Finance and Business.

## 7. **CONFIDENTIAL RECORDS**

If a staff member or Council Member believes that a record is of a highly sensitive or confidential nature, he or she should advise their Senior Manager of that view. It will be at the discretion of the Manager as to whether such information will then be treated as confidential and access to those records restricted.

## 8. **RECORDS SECURITY/ACCESS**

The security of all Council records is crucial, as records provide evidence of business transactions, support management decisions and ensure public accountability requirements are met. Records in all formats should be stored securely to prevent unauthorised access, destruction, alteration or removal.

Access to information will be controlled for 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.

Council staff are responsible for the safe custody of all files and documents that are allocated to them. Sensitive or confidential information should be placed in a secure storage area when not in use. When the action has been completed the file/documents should be returned to the records management officers for storage.

Council will store its records as it deems appropriate giving risk management consideration to reduce the possibility of damage by water or fire in the event of a disaster.

Council records are not to be stored at home, on personal devices, drives (both personal or Network) or left in cars unattended as they could be lost or damaged or stolen. Vital records should be stored in protective or fire resistant conditions with suitable access conditions. Confidential records will be stored in locked storage cabinets which are accessible only by authorised persons.

Migration and conservation of records are managed to ensure accessibility and readability for the life of the record.

## **9. RESPONSIBILITIES AND ACCOUNTABILITIES**

### **9.1. *Chief Executive Officer***

The role of Chief Executive Officer of the Council, as prescribed by section 99(h) of the *Local Government Act 1999*, includes ensuring that records required under any legislation are properly kept and maintained.

### **9.2. *Manager Finance and Business***

Responsibility for Council's records management system is assigned to the Manager Finance and Business, under supervision of the Chief Executive Officer.

The role of the Manager Finance and Business is to provide a strategic focus for record keeping throughout the Council and is responsible for:

- ensuring that official records are managed in accordance with the *State Records Act*;
- establishing records management policies and procedures for the Council as a whole;
- establishing corporate standards for record keeping and records management;
- measuring performance of Council business units against these standards;
- providing consulting services to Council staff and Council Members;
- developing corporate electronic records management strategies;
- working with other managers of information resources to develop coherent information architecture across the Council;
- working with other accountability stakeholders, including FOI officers and executive management staff, to ensure record keeping systems support organisational and public accountability; and
- providing Council staff and Council Members with appropriate training and tools to allow them to meet their records management responsibilities.

### **9.3. *Council Staff***

All Council staff need to be aware of record keeping requirements that affect the performance and exercise of their duties and functions. The record keeping obligations of Council staff include:

- making records to support the conduct of their business activities;
- creating records that would not otherwise be created;
- learning how and where records are kept within Council;
- not destroying Council records without authority from the relevant delegated Officer;
- not losing records; and
- being aware of records management procedures.

#### **9.4. Council Members**

All Council Members need to be aware of record keeping requirements. The record keeping obligations of Council Members include:

- making records to support the conduct of their business activities;
- forwarding records to the Records management officers for capture into records management system;
- not destroying Council records
- not losing records; and
- being aware of records management requirements.

#### **9.5. Records Management Officers**

Records Management Officers are operationally responsible for the efficient management of Council records (physical and electronic) incorporating sound record keeping principles and records management best practice guidelines.

These officers are responsible for the effective management and system administration of the Council's primary record keeping system Synergysoft.

The officers will assist Council staff and Council Members in fulfilling their record keeping responsibilities and provide advice and training throughout the implementation of this policy, procedure and strategies.

## **10. DESTRUCTION METHODS**

Official records must only be disposed of in accordance with the General Disposal Schedule No.40 (GDS 40) for Local Government Authorities in South Australia, as prescribed by the State Records Act 1997.

Only records that have been identified to have no continuing value to the Council can be destroyed by individual Council staff.

Only the records management officers may arrange destruction of Council official records. The destruction of records must be complete destruction so that no information is retrievable. Records in physical format should be destroyed by shredding or pulping. Records in electronic format should be destroyed by appropriate electronic file disposal software to ensure the complete destruction of electronic records.

## **11. GUIDELINES FOR DETERMINING WHAT ARE OFFICIAL RECORDS**

The following guidelines relate to some common records which Council staff and Council Members may create, send, receive, forward or transmit. This is not an exhaustive list and is provided to assist in assessing whether information in any format constitutes an official record under the *State Records Act*.

### **11.1. *Diaries/Appointment Books/Calendars***

Diaries, appointment books and calendars are generally used to record appointments. They may also be used to record messages and notes, some of which may only be an *aide memoire* of a routine nature, but others may be of significance to the conduct of Council business.

In order to ensure that all "official records" are captured and retained in accordance with the Act, Council staff and Council Members' diaries, appointment books and calendars should be captured at the end of the calendar year to which they pertain.

### **11.2. *Drafts***

A draft record is the preliminary form of any writing in electronic or physical format. Draft records include outlines of addresses, speeches, reports, correspondence, file notes, preparatory notes, calculations and earlier versions of the draft. Drafts may or may not be circulated to other Council Members or Council staff for comment or revision.

Drafts will be of no continuing value and may be destroyed when reference to them ceases if they:

- contain addresses, speeches, reports, correspondence, file notes that are not circulated to other Council Members or staff; or
- are circulated to other Council Members, where only editorial or typographical changes have occurred.

Drafts which document significant decisions, reasons and actions or contain significant information that is not contained in the final form of the records have continuing value and are to be captured into Council's records management system. For example:

- drafts which contain significant or substantial changes or annotations (other than editorial changes);
- drafts relating to the formulation of legislation, legislative proposals and amendments;
- drafts relating to the formulation of policy and procedures, where the draft provides evidence of the processes involved or contains significantly more information than the final version; or
- drafts of legal documents (contracts, tenders etc).

### **11.3. Duplicates**

Duplicates are exact reproductions or copies of records where the original or authorised copy is contained within the Council's record keeping system.

Duplicates of records will be of no continuing value and may be destroyed when reference to them ceases where they are:

- issued to a staff member or Council member by the Council for information or reference purposes only; or
- of internal or external publications issued or received for information or reference purposes (eg. annual reports, brochures, trade journals, price lists).

Duplications of records received by a staff member or Council Member and sourced from outside the Council that are relevant to furthering the business activity of the Council have continuing value and are to be captured into the Council's records management system.

### **11.4. Messages**

Messages may be sent or received via a range of methods, such as telephone and voice mail, email, post-it or sticky notes, facsimile, pieces of paper, file notes or transmission reports.

Messages may be sent or received on a variety of matters. Some messages will have continuing value, if they are considered significant to the conduct of Council business. Others, such as those very routine in nature, will only have temporary value.

For example:

- routine or simple administrative instructions, such as edit corrections, distribution lists for informational purposes, file creation requests, and social invitations and messages;
- information only messages, duplicates or working copies/memos;
- private messages or personal comments between officers which would not provide evidence or be required for accountability purposes;
- original messages that have been transferred or transcribed into appropriate formats for incorporation into Council's record keeping systems; and
- messages that do not relate to the business functions of Council,

have no continuing value and may be destroyed when reference to them ceases.

Messages that will have continuing value and are to be captured into Council's records management system include those which:

- contain information relating to the business activities of the Council such as directives, proposals, recommendations, definitions or interpretations from Council to another party or vice versa; and



- messages that are part of an actual business transaction itself, or have policy/procedure implications, or are otherwise identified as being significant to the conduct of Council's business, including:
- a directive or approval for a particular course of action;
- formal communications between internal officers or external agencies;
- final versions of reports;
- policy documents and statements; or
- formal minutes of Council Committees,

are of continuing value to the Council and must be printed and recorded in hard copy format or captured into the record keeping system.

#### **11.5. Working Papers**

Working papers are documents, background notes and reference materials that are used to prepare or complete other documents. Those final documents become an official record and should be captured into Council's record keeping system.

Working papers that do not relate to significant decisions or actions, or contain significant information, and where the final document has been captured into the Council's record keeping system have no continuing value and may be destroyed when reference to them ceases.

Working papers which document significant decisions, reasons and actions, or contain significant information (even if that information is not contained in the final form of the document) have continuing value and are to be captured into the Council's records management system.

#### **11.6. Telephone and Other Verbal Communications**

Council staff and Council Members may have telephone or other face-to-face conversations at any time on a variety of matters. Some conversations may involve the relay of information, or involve matters of significance to the conduct of Council business. These conversations should be documented in an appropriate format (eg. a file note).

Other conversations may only be basic or routine in nature, such as the issuing or receiving of basic instructions or information, and need not be documented.

Documentation of conversations which involve the exchange of routine or simple administrative instructions or information or do not relate to Council business and has no continuing value, may be destroyed when reference to them ceases. Original notes of significant conversations that have been transferred or transcribed into appropriate formats for incorporation into Council's record keeping system will also have no continuing value and may be destroyed when reference to them ceases.

Conversations will have continuing value and should be documented in an appropriate format and captured into Council's records management system if they:

- relate to the business functions of Council involving the issuing of directives, proposals, recommendations, definitions or interpretations from the Council to another party or vice versa or that are part of an actual business transaction itself; and
- have policy/procedure implications, or otherwise identified as being significant to the conduct of Council business.

### **11.7. Lobbying**

Lobbying is the activity of ratepayers or members of the community attempting to influence the Council through representations to Council Members and may include one or more Council Members lobbying other Council Members.

Records, such as correspondence or petitions, relating to lobbying matters, regardless of whether the lobbying itself is of Council or community interest, have continuing value and are to be captured into Council's records management system.

### **11.8. Election Material**

Election materials or records created or received by a Council Member in regard to their electioneering **are private records of the Council Member**, and do not need to be forwarded to the Council. Council facilities and support, including Council emails are not to be used for electioneering.

Any records created or received by the Council that relate to the preparation of elections have continuing value and are to be captured into Council's records management system.

## **12. RELEVANT DELEGATED POWERS AND DUTIES**

Any actions or decisions made regarding this policy, will be enacted upon as per Council's current Delegations Register.