

Document Control

Document Name	Document Register Number	Review Date
Records Management Policy	1.0.5	1 March 2022
Date Adopted	Minute Number	Summary of Changes
21 March 2018	4936	Revised

Purpose

This policy determines the requirements for managing all records for Greater Hume Council in both electronic and hardcopy formats in accordance with relevant legislation, standards and codes of best practice approved by State Records NSW.

Scope

All Greater Hume Council, employees and contractors.

Definitions

Nil, as at date adopted.

Policy Content

As a public agency, Greater Hume Council is bound by the regulations and requirements of the State Records Act 1998. The Act sets out codes of best practice to which Council must comply. Failure to do so could leave Council open to criticism in an investigation – whether by a Minister, a Royal Commission, an auditor or a law enforcement body. State Records legislation requires Greater Hume Council to make and keep records that fully and accurately document operations and administration.

Why we need ‘full and accurate’ records:

- i. Facilitate action by employees at any level, and by their successors;
- ii. Make possible a proper scrutiny of the conduct of business by anyone authorised to undertake such scrutiny, and,
- iii. Protect the financial, legal and other rights of the organisation, its clients and any other people affected by its actions and decisions.
- iv. To comply with all external requirements relating to record keeping practices.

To be a ‘full and accurate’ record the Australian Standards,

Attribute	Explanation of attribute
Compliant	Complying with the recordkeeping requirements from the regulatory environment in which the organisation operates
Adequate	For the purposes for which they are kept
Complete	Containing not only the content, but also the structural and contextual information necessary to document a transaction, as discussed above
Meaningful	With links to other records documenting a sequence of transactions
Comprehensive	Documenting the complete range of the organisation’s business
Accurate	Reflecting accurately the transaction that they document
Authentic	Enabling proof that they are what they purport to be and their purported creators indeed created them
Inviolable	Securely maintained to prevent unauthorised access, alteration or removal

Records are a vital ingredient in the support of Council's ongoing business activities. Effective management and preservation of Council's corporate memory is intrinsic to both the decision making process and productivity within Council.

Disposal of Records

Records must be protected, maintained, findable, and useable for their entire retention period, as outlined in the General Authority 39 (GA 39), Local Government Records.

Records cannot be disposed of other than in accordance with the State Records Act 1998, GA 39 and Greater Hume Council, Disposal Procedures. Records cannot be disposed of without the concurrence of the Manager Corporate Services.

The State Records Act 1998 (NSW) requires public officers to 'make and keep full and accurate records' of their business activities.

Poor recordkeeping practices within the public sector contribute to inefficiencies and poor decision making. Poor recordkeeping means that evidence may not even exist or may not be adequate to meet council requirements for accountability. Records are vital for ongoing business and for internal and public accountability.

The NSW Public Sector Code of Conduct requires that public officials should 'maintain adequate documentation to support any decision made' in the performance of their duties.

Accountability Requirements

Councillors

The Mayor and Councillors are responsible for the adoption of and compliance with the requirements of the Records Management Policy in their conduct of official business for Council. Official business includes business relevant to the performance of the function and duties of the office of Councillor.

General Manager

The General Manager has a duty to ensure that Greater Hume Council complies with the requirements of the NSW State Records Act 1998.

Corporate Services

The Manager Corporate Services is responsible for the management, protection and disposal of Council records in accordance with the State Records Act 1998.

Directors and Managers

Each Director and Manager are responsible for ensuring:

- That their staff respond to correspondence and action requests in a timely manner and that this information is also recorded in the Electronic Document Management Records System (EDRMS).
- Their staff comply with Council's records management policy and procedures. They will ensure their staff receive training on records management and use of Council's EDRMS (Infoxpert).
- Their staff respond to correspondence and actions requests within the determined time frames, and that this information is captured into the EDRMS, in accordance with the Records Management Procedures and guidelines for the use of Infoxpert.
- That their staff who have access to information of a confidential nature, are instructed as to their rights and obligations when dealing with such matters.

Records Officer

The Records Officer is responsible for the management of Council records (paper and electronic), all archiving services, and access to information requests. The Records Officer will assist and support all Council staff in meeting their record keeping responsibilities.

The Records Officer is responsible to the Manager Corporate Services for the efficient, accurate and timely delivery of records management services, including:

- Registration and distribution of incoming correspondence;
- Archiving and retrieval of council records;
- Access to information services;
- Provision of services to internal and external customers; and
- Monitoring and auditing of records management processes, including Council's Controlled Documents system. The Controlled Documents system incorporates Council's policies, procedures, forms and guidelines.
- Implementing new initiatives using the EDRMS, and driving organisational use of electronic records.

All Staff

Under the State Records Act 1998, all staff are required to 'make and keep full and accurate records' of their business activities. Staff are accountable to their supervisors for compliance with this policy, and with related internal policies, procedures and guidelines.

All staff are responsible for creating records that document:

- Decisions made;
- Verbal decisions and instructions or commitments given, including telephone conversations;
- Meetings;
- Other events; and
- Business activities they are involved in.

All staff shall:

- Make records that support the conduct of their business activities.
- Register records into the EDRMS in accordance with the protocols outlined in the internal procedures and guidelines for use of Infoxpert.
- Ensure all corporate emails are registered to the EDRMS.
- Handle hard copy records and information sensibly and with care, so as to avoid damage to the records.
- Not relinquish control over, damage, alter, destroy or lose records of Council.
- Access records from within the EDRMS.
- Maintain confidentiality of records they have access to, in accordance with Council's Code of Conduct, and the requirements of the Government Information (Public Access) Act, and Privacy and Personal Information Protection Act.
- Be given appropriate access levels to records and documents they require to enable them to perform their duties.
- Ensure that all paper documents received from external or internal sources relating to Council business are scanned and registered into the EDRMS.

Links to Policy

[Access to Information Policy](#)

[Social Media Policy](#)

[Document Control Policy](#)

Links to Procedure

Records Management Procedure Manual
Government Information Public Access (GIPA) Guide

References

Nil, as at date adopted

Responsibility

General Manager

Relevant Legislation

International Standard ISO15489 Records Management
General Records Disposal Schedule 2011
State Records Act 1998 and associated Standards, Principles and Codes
State Records Regulation 2015
Government Information (Public Access) Act 2009
Privacy and Personal Information Protection Act 1998

Associated Records

Nil, as at date adopted