

# DISTRICT COUNCIL OF LOWER EYRE PENINSULA

## Records Management Policy

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“Working with our Rural & Coastal Communities”

	<b>IT-POL-01 – RECORDS MANAGEMENT</b>	<b>Version No:</b>	1.0
		<b>Issued:</b>	November 2015
		<b>Next Review:</b>	November 2019

## 1. Introduction

The District Council of Lower Eyre Peninsula recognises the importance of developing and implementing a records management policy. Council has a legal obligation under the State Records Act 1997 to ensure that official records in its custody are maintained in good order and condition. The Chief Executive Officer also has a responsibility under the Local Government Act to ensure that records required by these Acts are properly kept and maintained. The development and implementation of adequate records management policy will help to ensure Council meets these obligations, as well as ensuring that Council's evidentiary, accountability and information needs are met.

Council has certain legal obligations in relation to records management and records are themselves subject to legislation, such as the Freedom of Information Act 1991, and legal processes, such as discovery orders and subpoenas. The records may also be required by Royal Commissions, the Ombudsman, auditors and other people or bodies to whom or which they may be subject.

## 2. Definitions

### 2.1 Record:

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

### 2.2 Official Record:

A record made or received by the Council or its elected members in the conduct of Council business. An official record may be paper-based and/or electronic and may be held off-site.

### 2.3 Normal Administrative Practice (NAP):

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 ephemeral value to the Council will be destroyed. Material that can be disposed of under Normal Administrative Practice comprises items of an ephemeral 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 keeping system.

### 2.4 Disposal:

The destruction of a record; the carrying out of any process that makes it impossible to reproduce the information in a record; the transferring or delivering ownership or possession of a record; or the selling of a record.

(continued):

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	<b>IT-POL-01 – RECORDS MANAGEMENT</b>	<b>Version No:</b>	1.0
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## 2. Definitions cont'd

### 2.5 Capture:

Involves the organisation of official records with unique identifiers in some form of logical sequence, which may be ensured by any of the following:

- Classification and indexing, which allow appropriate linking, grouping, naming, security protection, user permissions and retrieval, disposition and identifying vital records;
- Arrangement in a logical structure and sequence, whether a physical file or electronic directory, which facilitates subsequent use and reference;
- Registration which provides evidence of the existence of records in a records system; and
- Systems which profile or template the actions undertaken in business.

### 2.6 GDS 20:


General Disposal Schedule 20 (GDS 20) set of guidelines that applies to the disposal of all records, irrespective of format or media and created or received by any Local Government Authorities in South Australia.

## 3. Responsibilities

### 3.1 Chief Executive Officer

The role of the Chief Executive Officer of the Council, as prescribed by Section 99 of the Local Government Act 1999, includes ensuring that records required under any legislation are properly kept and maintained. In particular, the Chief Executive Officer will: -

- Ensure that the Records Management Policy is reviewed every four years to ensure that it is relevant to emerging trends, amended standards, legislation and guidelines;
- Ensure that the Records Management Policy, and all responsibilities contained within this policy, is brought to the attention of all staff members, and all new staff members in their induction;
- Take responsibility for the overall management of Council's official records;
- Ensure records are disposed of in accordance with the General Disposal Schedule (GDS 20);
- Provide controlled access to official records Identify the location of official records;
- Be responsible for the reliability of official records.

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### 3. Responsibilities cont'd

#### 3.2 *Records Management Officer*

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

The Records Management Officer will assist Council staff and Council Members in fulfilling their records keeping responsibilities, and provide advice and training throughout the implementation of this policy, procedure and strategies. In particular the Records Management Officer will: -

- Ensure records are disposed of in accordance with the General Disposal Schedule (GDS 20);
- Be responsible for the coordination of Council's Records Management Program.


#### 3.3 *Council Staff and Elected Members*

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

- Making records to support the conduct of their business activities;
- Forwarding records to the Records Management Officer for capture into paper or electronic record keeping systems;
- Learning how and where records are kept within Council;
- Not destroying Council records without authority from the Corporate Records Manager;
- Not misplacing records; and
- Being aware of Council's records management procedures.

All staff and elected members are informed of their records management responsibilities by:

- The inclusion of this policy in the induction process for new employees;
- In-house records management training provided to new employees;
- In-house records management training provided to elected members;
- Including records management responsibilities in all Job Descriptions;
- Regular review of this policy; and
- Ensuring this policy is accessible to all staff.

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**4. Purpose of this Policy**

The purpose of this policy is to establish a framework for the implementation of a 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 and accountability requirements.

**5. Objectives (Outcomes)**

- Official records are created in all appropriate circumstances;
- Official records are captured into corporate recordkeeping systems upon creation or receipt, or as soon as practicable afterwards;
- All official records of the District Council of Lower Eyre Peninsula are disposed of in accordance with provisions of the State Records Act, 1997;
- All access to official records takes place in a managed manner using prescribed policies and procedures.
- Specific official records can be found upon demand or with the minimum extra effort;
- The District Council of Lower Eyre Peninsula shall implement measures to ensure the reliability of official records as evidence of their business;
- Records management shall be managed and planned in a strategic and corporate manner; and
- All staff and elected members within the District Council of Lower Eyre Peninsula shall receive training on records management, as outlined in the training plan.

**6. Procedures**

The efficient and effective regulation of the District Council of Lower Eyre Peninsula records management requirements is described in the Records Management Procedures Manual (*currently under development*).

**7. Other Relevant Council Documents**

- Council’s Codes of Conduct for Council Members and Council Staff
- Council’s Record Management Procedure (under development)
- Records Management – Guidelines ‘What are Official Records’

**Note:**

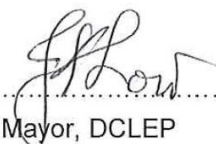
**The State Records Act 1997 imposes a maximum penalty of \$10,000 or two years imprisonment if a person, knowing they do not have proper authority, disposes of an official record.**

SIGNED:

CEO



Mayor, DCLEP



Date: 20 / 11 / 2015

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