

RECORDS MANAGEMENT POLICY



TITLE: RECORDS MANAGEMENT POLICY

ADOPTED BY: COUNCIL

RESPONSIBILITY: CHIEF EXECUTIVE OFFICER

NEXT REVIEW DATE: 29/06/2017

Version	Decision Number	Adoption Date	History
1	1	28/06/2016	DRAFT
2			
3			
4			

1. RECORDS MANAGEMENT POLICY

The Records Management Policy (~~Policy~~) relates to Katherine Town Council (~~Katherine Town Council~~).

2. COMMENCEMENT OF POLICY

This Policy will commence from 28/06/2016. It replaces all other policies, if any, relating to records management (whether written or not).

3. SCOPE

3.1 The Policy relates to all full-time, part-time and casual employees of Katherine Town Council (~~Katherine Town Council Employees~~), as well as Elected Members, contractors, temporaries and subcontractors working for or on behalf of either a company or any associated companies in the Katherine Town Council workplace (~~Katherine Town Council Contractors~~).

3.2 The Policy does not form part of any contract of employment with Katherine Town Council. Nor does it form part of any contract for service with Katherine Town Council.

4. AIM

The aim of this policy is to outline responsibilities and obligations for all employees, Elected Members and contractors in respect of, records of Council, under the *Information Act*, *Local Government Act*, Local Government (Administration) Regulations and the Records Management Standards for Public Sector Organisations in the Northern Territory.

5. DEFINITIONS

Authentic . an authentic record is one that is proven to be what it purports to be and has been proven that there have been no unauthorised additions, deletions, alterations, use or concealment.

InfoXpert . Council's Electronic Records Management System

Primary Records . The primary records as described in the Local Government (Administration) Regulations are:

- Minutes of meetings of the Council, Council Committees and Local Boards;
- Minutes of meetings of Electors;
- The register of interest of members of Council, Council Committees and Local Boards;
- Council By-Laws;
- Council's Code of Conduct;
- Council's Annual Budget and amendments to the Budget;
- Council's Annual Financial Statements;
- Council's Annual Reports;
- Registers kept under the Local Government (Administration) Regulations; and
- Any other document necessary for an understanding of the Council's policies and operations.

Record . Recorded information in any form (including data in a computer system) that is required to be kept by a public sector organisation as evidence of the activities or operations of said organisation and includes part of a record and a copy of a record.

Registers . The following registers under the Local Government (Administration) Regulations are primary records of Council and must be kept by computer:

- A register containing copies of all documents executed under Council's Common Seal;
- A register of correspondence addressed to, or sent by, Council; and
- A register of the results of all elections and polls.

Reliable Records . A reliable record is one whose contents can be trusted as a full and accurate representation of the transactions, activities or facts to which they attest and can be depended upon in the course of subsequent transactions.

Secondary Records . Secondary records as described in the Local Government (Administration) Regulations consist of documents other than primary records generated or received in the course of Council's operations.

Useable Records . A useable record is one that can be identified, located, retrieved, presented and interpreted. The useable record should be capable of subsequent presentation and the contextual linkages should carry significant information to understand the business activities and transactions that created it.

6. RESPONSIBILITIES

In accordance with the *Local Government Act, Information Act* and the Records Management Standards for Public Sector Organisations in the Northern Territory Council is responsible for ensuring that Council's annual report includes a statement about compliance. It is vital that all employees, Elected Members and contractors support the culture of Council that reinforces the value and importance of good record keeping and that it is something that is a standard expectation of all. Such expectations are to be regularly articulated by Council's Corporate Services Department's Records Officer.

Under the *Local Government Act* Council is responsible for ensuring that:

- Full and accurate records of its activities and operations are kept; and
- Implement the practices and procedures for managing records necessary for compliance with the standards applicable.

Consequently, all employees, Elected Members and contractors are responsible for ensuring that adequate records of the business they conduct on behalf of Council are identified and captured for proper management into InfoXpert as soon as possible after creation or receipt of the record.

Council will maintain InfoXpert for the management of its records in all media (excluding records held in other core business information systems . i.e. Authority). The key processes managed by this system will include:

- The capture and storage of authentic, reliable and useable records;
- Security and access to such records; and
- The disposal of records in accordance with this Policy.

The Corporate Services Executive Manager is responsible for the operation and maintenance of InfoXpert in all offices of Council with technical support from Council's IT contractor. The Corporate Services Executive Manager with daily operational support from the Records Officer will work with other employees, Elected Members and contractors to make sure those records are captured and maintained as required.

The Chief Executive Officer is responsible for:

- Ensuring compliance with legislative requirement;
- Ensuring that this Policy is communicated and implemented at all levels in the organisation; and
- Assigning responsibilities for record keeping.

The Corporate Services Executive Manager is responsible for:

- Ensuring that record keeping guidelines and procedures support the aims of this Policy;
- Ensuring that staff are sufficiently trained and supported in appropriate use of InfoXpert;
- Monitoring and compliance; and
- Ensuring that no illegal record disposal takes place.

7. RETENTION AND DISPOSAL SCHEDULE

- 7.1 The purpose of a Retention Schedule is to enable regular, planned and authorised retention of records. Once identified as a record, the record must be captured into Council's records management system in accordance with the InfoXpert business rules. This helps facilitate:
- Efficiency, by allowing the use, re-use, reference to and central distribution of records thereby making correct and authentic information readily available when needed.
 - Sound use of financial resources, by allowing timely disposal of non-current records.
 - Accountability, by enabling the creation of a complete and authoritative record of official activities.
 - Compliance, by demonstrating that legal requirements have been met.
 - Risk mitigation, by managing the risks associated with illegal loss or destruction of records, and from inappropriate or unauthorised access to records.
- 7.2 The purpose of a Disposal Schedule is to enable regular, planned and authorised disposal of records of Council's activities.
- 7.3 Application of a Disposal Schedule is mandatory for Council's records. This applies to all records in all formats, including electronic records and records in business systems, copies of records and parts of records.
- 7.4 Council uses NT Archives Services' records disposal schedules to set out minimum requirements for the retention or destruction actions to be taken in relation to existing or future records.

8. PRINCIPLES

Council requires that:

- All staff must create and maintain complete records of all business activity (these include the categories of primary and secondary records including registers of records).
- Records must be captured into InfoXpert according to InfoXpert Business Rules. These rules are issued separately. Staff must not keep records of Council in separate, individual filings systems or on a hard drive or other storage device.
- All records must be classified in accordance with Council's InfoXpert Business Rules.
- Staff must protect records by applying appropriate levels of security and access.
- Physical files must be kept in the designated area unless required for a specific purpose. The location of physical files must be kept up to date at all times with Council's Records Officer.
- No staff member can dispose of Council records unless authorised to do so.

9. PROCEDURES

Please refer to Council's InfoXpert Business Rules for appropriate procedures.

10. BREACH OF THIS POLICY

- 10.1 Offences under the *Local Government Act* and the *Information Act* include:
- Providing unauthorised access to Council's records;
 - Destroying, damaging, concealing or removing records;
 - Mishandling, transferring control of, or altering records;
 - Providing false or misleading statements or false or misleading material;
 - Concealing or disposing of records to prevent access or correction; and
 - Disclosing confidential information and improper use of confidential information.
- 10.2 Any breach of the Policy, by an employee, may result in disciplinary action, including, but not limited to, issue of a warning, demotion, suspension or termination of employment.
- 10.3 Any breach of the Policy, by an Elected Member, may result in disciplinary action, in accordance with the *Local Government Act*.
- 10.4 Any breach of the Policy, by a contractor, may result in disciplinary action, in accordance with Council's Procurement Policy.

11. KATHERINE TOWN COUNCIL CONTACT

- a) Any questions about this Policy should be directed to Chief Executive Officer 8972 5500.

VARIATIONS

Katherine Town Council reserves the right to vary, replace or terminate this Policy from time to time.

ASSOCIATED DOCUMENTS

- *Local Government Act*
- Local Government (Administration) Regulations
- *Information Act*
- Katherine Town Council InfoXpert Business Rules
- Katherine Town Council Code of Conduct

POLICY VERSION AND REVISION INFORMATION

Policy Authorised by: Robert Jennings Original issue: 28/06/2016
Title: Chief Executive Officer
Policy Maintained by: Alice Anastacio Current version: 1
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