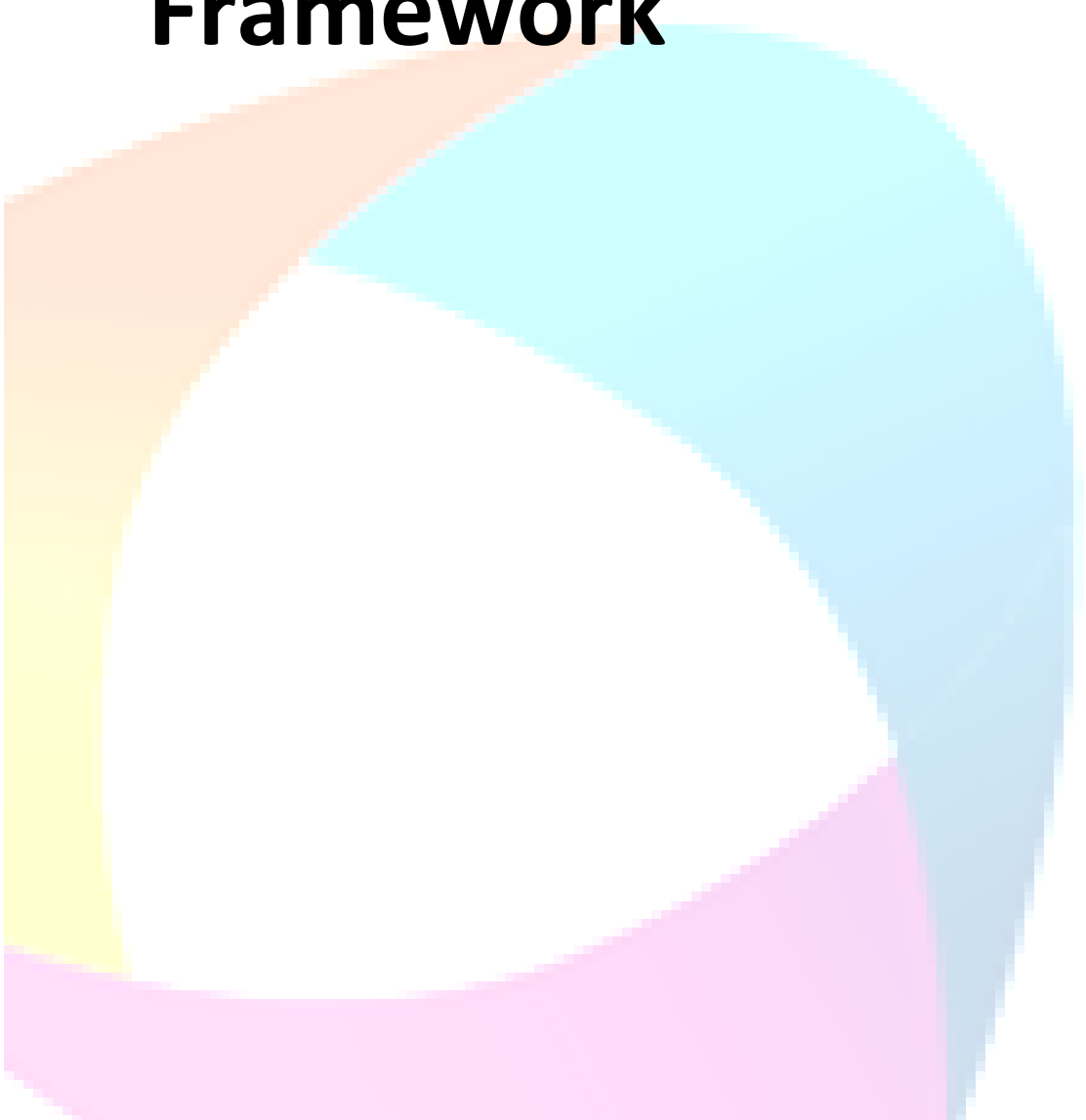


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SNOWY MONARO
REGIONAL COUNCIL

Records Management Framework



Record of Versions

Date Published	Reason for Amendments	Resolution	Author/Document Owner

Uncontrolled document when printed. Please refer to intranet for controlled document

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Introduction/Application

This framework applies to all Council business activities including electronic business. It concerns records that are created, collected, processed, used, sentenced, stored and disposed of in the conduct of official Council business.

This Framework should be read together with the Snowy Monaro Regional Council (SMRC) Records Management Policy.

Types of Documents

The three main types of documents, based on their importance and relevance to the Council, are:

Corporate Documents

Documents that are used by Council in the course of its business and are judged to have on-going value. This includes documents kept for legal and audit requirements, and those that originate outside and have reached a stage of development and quality that warrants them becoming part of the corporate record. These records substantiate 'what, where, when and why' you did something are an important asset of the Council.

Depending on the security requirements, these documents will be readily accessible to those who need to use them.

Working Documents

Documents which are either copies of existing corporate documents that are in the process of further development, or documents that relate to policy, program or management issues which, when they reach an appropriate level of development and quality will be registered as corporate documents i.e. that they are the substantive record and contain valuable information.

Working document examples may include background notes and reference materials that are used to prepare or complete other documents such as a copy of another council's procedure manual.

Personal Documents

Documents that are the concern of the individual only, and include documents such as personal notes, which may be used in the development of working documents however are not intended to be in themselves corporate documents. For example a notation made on the relevance of an item for possible inclusion into a corporate document or notes taken during a demonstration or training session.

Record creation and capture

Records are to be created in the normal course of conducting Council business to provide evidence and facilitate business. They are to be created automatically as part of a business transaction or consciously created to document business or activity that has been done.

It is the responsibility of the sender to capture correspondence they send externally and internally. Incoming correspondence from an external source is to be captured by the initial recipient of the correspondence.

Records management system

All SMRC records are required to be captured within Council's record management system. Electronic records and paperless systems of storage and retrieval are used in preference to hardcopy.

Council's electronic and hardcopy incoming mail are to be captured in the Council Records Management System in a timely manner upon arrival and distributed through registration to enable efficient and effective response from all authorized users including Council staff and Councillors.

Outgoing correspondence and business records are to be stored electronically in the Records Management System by the respondent or Council representative dealing with the item of business.

Record identification

Records are to be registered into the corporate Electronic Document and Records Management System (EDRMS) as soon as they are received or created to enable immediate identification and location. All electronic documents are to be allocated a document number when stored in the electronic storage system.

Record location

The location of physical records are to be maintained in a recording system that ensures that physical items can be located as required. All authorized users are responsible for keeping this system up to date and accurate.

Electronic records are to be located in SMRC's EDRMS.

Registration, control and protect

All incoming correspondence is to be assessed and categorised according to its content, intent and actions required. Records are then to be registered into the SMRC EDRMS which are assigned for information or action to an appropriate person or persons within the Council. Records are then stored according to their category and level of sensitivity. Council's EDRMS is to be adequately secured and protected from violation, and unauthorised access or destruction.

Records will be kept in accordance with the necessary retrieval, preservation and storage requirements as determined by the *State Records Act 1998*.

Registration and control

Registration of an electronic record involves creating the Meta data and identifiers of the record. This will give assistance with the following:

- Reading and assessing the record
- A unique identifying number

- A title and date
- Linking to related records
- A descriptor of the record
- Classifying the record
- Applying security or access levels
- Assignment to a person or persons for information or action.

Record Classification

SMRC classifies its records using a thesaurus classification scheme of State Records Authority of NSW - 'Key words for Councils'.

This classification system provides a consistent method across local government and covers terminology common to business functions and activities undertaken by councils and records created or received by councils in the course of its business.

Record Security

Registration of records in to the EDRMS at SMRC will apply access and security settings to all electronic records in line with organisational functions, activities, transactions to provide security and confidentiality.

Hard copy records are to be recorded, controlled and tracked through the EDRMS and stored in locked storage systems that are accessed only by authorised users.

Use and access to records

Public access to records

Public access to SMRC's records will be dealt with in accordance with relevant provisions of the *Government Information (Public Access) Act 2009*, *Privacy and Personal Information Protection Act 1998*, *Health Records and Information Privacy Act 2002*, *Copyright Act 1968*, *NSW Privacy Code of Practice for Local Government*, Council's Privacy Management Plan, and relevant Council policy and procedure.

Access by elected members

Access to SMRC's records by elected members will be via the General Manager and Public Officer in accordance with the *Local Government Act 1993* and the current version of the Office of Local Government NSW Model Code of Conduct for Local Councils in NSW.

Access to records by employees and contractors

Access to and use of SMRC's records by employees or authorized users and contractors will be in accordance with the designated access and security classifications.

When records are removed from storage, the authorized user using the file will be responsible for its security. The EDRMS is to record file movement out of storage and between officers.

Records will not leave SMRC premises unless it is for the purposes of property inspections or movement between offices. If possible, a copy of relevant documents should be taken to meetings etc. outside Council premises.

Authorised users will not take record files home. If it is necessary to work on a file at home, a copy of relevant documents should only be used.

Store and maintain records

SMRC will ensure the safe custody and proper preservation of records.

When hard copy records are identified as State Archives and are no longer required for use by an organisation, custody will be transferred to the State Records Authority.

Paper based records

SMRC will store its archive, paper based records in a clean, secure environment, within an accessible distance from the Council Administration Centre.

Records are labelled and packaged and a system is to be used to track and locate records.

Digital records

SMRC stores its digital records in a corporate system. Meta data is to be applied to all digital records.

The system must capture, maintain and provide access to the electronic records and have security access levels for authorised users.

Transfer of State Records

The Government Records Repository (GRR) manages records storage services for semi active records created by NSW public sector bodies, including Government agencies, local councils, public hospitals and universities. Snowy Monaro Regional Council will transfer appraised hard-copy state archives to the GRR.

SMRC has records that are historical by date and under the *State Records Act 1998* need to be retained permanently in good storage conditions.

Disposal of records

All records kept by SMRC will undergo appraisal before being disposed of in accordance with the general retention and disposal authority: local government records, produced by the State Records Authority of New South Wales and approved under section 21(2)(c) of the *State Records Act 1998*.

Disaster recovery/ business continuity

All reasonable steps are to be taken to ensure that Council's records are at minimal risk of damage or loss due to accident or disaster.

Council has developed and maintains a disaster recovery plan or business continuity plan which details all procedures to be followed in the event of a disaster. The plan will include all information necessary to implement the procedures.

In the event of an accident or disaster Council will take all reasonable steps to ensure records are conserved according to current best practice.

Related Legislation, Policies and Procedures

This Records Framework is based on the *State Records Act 1998*, Records Management Standards and Council's Corporate Recordkeeping Procedures, which are available on Council's intranet.

Legal Considerations

Council is required to maintain certain categories of records in accordance with the following legislation:

- *Superannuation Act 1992*
- *Industrial Relations Act 1996*
- Equal Employment Opportunity and antidiscrimination laws
- *Government Information (Public Access) Act 2009*
- *Privacy Act 1998*
- Audit regulations
- *Copyright Act 1968*
- Australian Standard AS ISO 15489.1: 2017
- *Local Government Act 1993*
- *Electronic Transaction Act 2000*
- *Telecommunications Act 1997*

Accountabilities

Taking into account the SMRC's organisational employee structure which outlines the levels of employees required, the SMRC Records Management Policy summaries the management levels and their responsibilities within council in regards to records management according to the SMRC's Delegations Policy.

Please refer to SMRC's Records Management Policy

Agency Information Guide

The Agency Information Guide, formerly known as the Publication Guide, is a document adopted by SMRC which outlines how Council operates and how that effects the community, including, *Government Information (Public Access)(GIPA) Act 2009*, public participation in local government and how Council represents the Community.

This document can be found on the Council Website.

Escalation

The SMRC's EDRMS has workflows with timeframes that allows for when a record is assigned to a person and that person hasn't complete the task in the allotted time. The task is escalated to the next level in the organizational structure, depending on the delegation of the employee, from within the EDRMS.

Definitions

Term	Definition
Archives	Archives are records that are appraised as having continuing value (i.e. they need to be kept permanently). They may have continuing value because they meet an ongoing legal or evidential requirements, or because they meet a research need for an organisation or community. Archives can be in any format, including digital.
Appraisal	Appraisal is the process of evaluating business activities to determine which records need to be captured and how long the records need to be kept, to meet business needs, the requirements of organisational accountability and community expectations.
Accountability	The principle that individuals, organizations and the community are responsible for their actions and may be required to explain them to others.
Business Activity	Umbrella term covering all the functions, processes, activities and transactions of an organisation and its employees. Includes public administration as well as commercial business.
Capture	A deliberate action which results in the registration of a record into a recordkeeping system. For certain business activities, this action maybe designed into electronic systems so that the capture of records is concurrent with the creation of records
Classification	The systematic identification and arrangement of business activities and/or records into categories according to logically structured conventions, methods and procedural rules represented in a classification system.
General Disposal Authority (GA39)	The General Disposal Authority for Local Government records (the schedule) is designed to provide consistency throughout Local Government in disposal activities and decisions. It is a continuing authority for the disposal and archival of records which document a Local Government's operations.

Government Record	A record created or received by a government organisation or a government organisation employee in the course of their work for the organisation.
Record	<p>Any document or other source of information compiled, recorded or stored in written form or on film, or by electronic process, or in any other manner or by any other means (State Records Act 1998 Section 3, Government Information Public Access Act Schedule 4 Clause 10).</p> <p><i>The knowledge of a person is not a record for the purposes of this policy.</i></p>
State Archive	Records that are appraised as having continuing value and have been selected for permanent preservation.
Digital record	<p>Records that have been manipulated, transmitted or processed by a computer or electronic device. For the purpose of this framework it is digital information, captured at a specific point in time that is kept as evidence of Council business activity. Digital records include:</p> <ol style="list-style-type: none"> 1. Records that are 'born digital' such as email, web pages, digital photographs, and GIS files or data base records. 2. Scanned versions of paper records that have been digitised in business processes. <p>Corporate telephone and mobile phone data and recording (voicemail, messages, call logs etc.) does not constitute a digital record for the purposes of this policy.</p>

Attachment A: Disposal of Paper Copy of Digitalised Record

