

Title of Policy	SMRC Records Management Policy		
Responsible Department	Corporate and Community Services - Governance	Document Register ID	250.2019.541.3
Policy Owner	Group Manager Governance	Review Date	Date: June 2022
Date of Council Meeting	20 th June 2019	Resolution Number	Number:229/19
Legislation, Australian Standards, Code of Practice	<p>Snowy Monaro Regional Council complies with relevant legislation such as:</p> <ul style="list-style-type: none"> • Local Government Act 1993. • Government Information (Public Access) Act 2009. • Privacy and Personal Information Protection Act, 1998. • State Records Act 1998. • General retention and disposal authority: local government records GA39. • Health Records and Information Privacy Act 2002. • Model Code of Conduct for Local Councils in NSW, November 2015. • Evidence Act 1995 - Electronic copies can be introduced to court as evidence – original document rule is removed and copies, including digital, are acceptable. • Electronic Transactions Act 2000 - Digital communication is deemed to have equivalence to paper versions in most situations. 		
Aim	<p>This policy provides the principles for the SMRC Records Management Framework that details the processes implemented to record, manage and ensure timely access to information across all sections of Snowy Monaro Regional Council (SMRC).</p> <p>To effectively record, manage and enable access to information stored in both physical and electronic formats in accordance with legislative requirements.</p>		

Policy Statement

Snowy Monaro Regional Council (SMRC) will address the matter of ‘Records Management’ in a systematic manner by:

- Implementing records practices that capture information from electronic sources and physical documents.
- Maintain records that provide appropriate and adequate evidence of the conduct of SMRC’s internal and external business practices.
- Ensure records are maintained, complete, accurate and authentic so that they can have integrity and are accessible and usable.
- Maintain permanent records in accordance with section 12(1) of the NSW Records Act 1998 and the related Council procedures and guidelines.
- Keeping full and accurate records of the activities and decisions of the Councillors in the course of their official duties.
- Managing records in accordance with organisational needs and accountability requirements.

- Enabling staff to effectively and efficiently maintain records through the implementation of appropriate records management systems.
- Ensuring records are appraised and disposed of appropriately.

To ensure that the above points are followed, the Snowy Monaro Regional Council has a Records Management Framework which will guide Councillors and Staff.

Principles of Records Management Framework

The Records Management Framework has the following principles:

1. Responsibility for record keeping in a geographically dispersed organisation must be taken at all levels of SMRC.
2. Management and supervisory staff in all offices and depots must ensure their officers create, capture and maintain records that provide appropriate and adequate evidence of the conduct of the Council's business and affairs.
3. Records keeping standards across all sites must be consistent.
4. Records must be adequate and appropriate for the purpose for which they are kept. This means routine administrative transactions can be documented with a minimum of identifiable information and records that provide appropriate and adequate evidence of the conduct of the Council's business and affairs must comply fully with the *State Records Act 1998*.
5. Records keeping standards and procedures must be written in Plain English for use by all staff.
6. Appropriate records keeping systems must be established and maintained for records in different formatted and compatible system hardware and software adopted throughout the SMRC.
7. Electronic records and paperless systems of storage and retrieval should be used in preference to hardcopy systems. Mechanisms must exist to monitor compliance.

Implementation Accountabilities

Councillors

All elected Councillors are to create and maintain records relating to their role in line with legislation and state policies and procedures for the management of records. Political and personal of councillors are exempt, however all correspondence and emails sent and received via a Council's records management system (including Councillor email addresses) subject to the public disclosure provisions of the *Government Information Public Access Act 2009*.

Access to Snowy Monaro Regional Council's records by elected councillors will be via the General Manager and Public Officer in accordance with the *Local Government Act 1993*.

General Manager

In accordance with section 5.41 of the Local Government Act 1993, the General Manager is to ensure that records and documents of the local government are properly kept for the purpose of this act and any other written law.

Directors and Group Managers

All Managers are to ensure that there are records management processes established to manage the records under their control. They are also to ensure that all new staff are inducted as to their records management responsibilities.

Coordinator Governance

Coordinator Governance and the Governance business unit is responsible through the Records team and the Public Officer to ensure compliance and statutory delegations across the council.

Appropriate archive, storage and destruction processes and schedules are developed and implemented across the Council operation.

Staff

All staff will be responsible for ensuring that this policy is implemented appropriately within their work area, after they have received training to do so.

Consultation

Any consultation deemed necessary will occur as required with key stakeholders, which may include (but not limited to) the community, other agencies, statutory and industry bodies. Proposed substantive changes to this policy will be placed on public exhibition with public submissions invited for consideration during the exhibition period.

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. Archives provide: <ul style="list-style-type: none"> • ‘Long term memory’ enabling better planning, decision making, access to past experience, expertise, knowledge and historical perspective, • Evidence of continuing rights, entitlements and obligations, • Instruments of power, legitimacy and accountability, • A source of understanding and identification, • A vehicle for communicating political, social and cultural values.
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.
General Disposal Authority	The General Disposal Authority for Local Government records (the

(GA39)	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	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 (<i>State Records Act 1998 Section 3, Government Information Public Access Act Schedule 4 Clause 10</i>). <i>The knowledge of a person is not a record for the purposes of this policy.</i>
Record Disposal	Disposal is by way of depositing records in the State Archives, managing the records as designated by State Archives, or by destruction in accordance with policy.
Significant records	Significant records contain information, which is of administrative, legal, fiscal, evidential or historical value, and are not recorded elsewhere on the public record. They describe an issue, record who was involved, why a decision was made, and may include actual guidelines.
State Archive	Records that are appraised as having continuing value and have been selected for permanent preservation.
Digital record	Records that have been manipulated, transmitted or processed by a computer or electronic device. For the purpose of this policy it is digital information, captured at a specific point in time that is kept as evidence of Council business activity. Digital records include: <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. 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.

Governance

- This policy should be read in conjunction with any related legislation, codes of practice, relevant internal policies, and guidelines.
- Related legislation and Council policies

Name	Link
Related Council Policy or Code of Practice	Snowy Monaro Regional Council's Records Management Framework
Related Council Policy or Code of Practice	Snowy Monaro Regional Council's Code of Conduct
State Records Act 1998	https://www.legislation.nsw.gov.au/#/view/act/1998/17
Local Government Act 1993	www.legislation.nsw.gov.au/maintop/view/inforce/act+30+1993+cd+0+N
Government Information (Public Access) Act 2009	Government Information (Public Access) Act 2009
Privacy and Personal Information protection Act, 1998	www.legislation.nsw.gov.au/#/view/act/1998/133
State Records Act 1998	www.legislation.nsw.gov.au/inforce/0af9a3e2-72ac-ef5783b5-9bd797f62f37/1998-17.pdf
General retention and disposal authority: local government records GA39	State Archives and Records NSW The State Archives and Records Management Authority of New South Wales
Health Records and Information Privacy Act 2002	www.legislation.nsw.gov.au/#/view/act/2002/71
Evidence Act 1995	www.legislation.nsw.gov.au/inforce/b92c458e-5431-61a4f9e6-873447438d99/1995-25.pdf
Electronic Transactions Act 2000	www.legislation.nsw.gov.au/inforce/235adf26-6085-61798cbd-d0ddf6bbdab4/2000-8.pdf
Office of Local Government	www.olg.nsw.gov.au
State Archives and Records	Archives State Archives and Records NSW
Public Access to Information at Snowy Monaro Regional Council	Public access to information – Snowy Monaro Regional Council

- *Change History*

Version	Approval Date	Approved by	Minute	File	Change
1					Policy drafted

- *Internal use*

Responsible Officer		Group Manager Governance		Approved by	Council
Minute		Report		Effective date	
File		Review Date		Pages	

Documentation

List the name and document reference number of any other document referred to in this document, including any related policies and procedures

250.2016.1.2 - Code of Conduct Policy

250.2017.405.1 - Councillor Training

250.2019.540.1 - Snowy Monaro Regional Council Records Management Framework

250.####.#.1 – Records Procedures – in the process of being developed

- **Variation**
- Council reserves the right to review, vary or revoke this policy and should be reviewed periodically to ensure it is relevant and appropriate.