



**Title:** Records management

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**Related legislation:** State Records Act 1998  
Local Government Records General Disposal Authority (GDA10)  
Australian Standard AS4390-1996 (AS ISO15489-2002)  
Government Information (Public Access) Act (GIPAA) 2009  
Privacy and Personal Information Protection Act 1998

**Related policies:** E-Mail Policy  
Access to Information policy  
Complaints Management policy

**Related procedures:** Records Management Procedures/Operations Manual (RPOM)

**Related forms:**

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## 1. Purpose

The purpose of this policy is to ensure that full and accurate records of all activities and decisions are created, managed and retained or disposed of appropriately, and in accordance with relevant legislation. It will allow us to meet our obligations for accountability while ensuring that it protects the rights of the City of Canterbury, its staff, customers and the community.

This policy provides us with a framework and outlines responsibilities for the operation of our Records Management Program.

### Rationale

The policy has been formulated to outline our records management responsibilities and to identify areas and processes which can be improved.

The City of Canterbury is committed to a records management program which meets legislative requirements, reflects our business needs, provides us with evidence of our business transactions and protects our interests. Corporate records promote organizational memory and provide us with precedents which can be used to make consistent decisions.

## 2. Objectives

A records management program is a planned, coordinated set of policies, procedures, people, systems and activities that are required to manage records.

The objectives of this policy are to outline our requirements for managing records to:

- support our ongoing business activity and customer services
- meet legislative requirements and community expectations
- manage records efficiently and effectively
- be accessible to meet our business needs
- store them cost effectively and when no longer required are disposed of in a timely and efficient manner
- ensure that records of longer term value are identified and protected for historical and other research
- maintain digital and other technology dependent records in an accessible format for as long as they are required
- comply with all external requirements relating to record keeping practices.

## 3. Scope

This policy applies to Councillors and staff at the City of Canterbury who deal with corporate records and to anyone performing work on our behalf including casuals, volunteers, contractors and consultants.

It applies to any corporate record in any format, created, received or maintained by Council for official business. Communications sent or received via an electronic message system (see definition) which are relevant to the information gathering, policy formulation or decision making processes of Council are included in the scope of this policy.

## 4. Definitions

<b>Active Records</b>	Records in frequent use, required for business transactions or information.
<b>Archives</b>	Records which have been appraised as having continuing value to the organization or required as State Archives.
<b>Business Activity</b>	Umbrella term covering all the functions, processes, activities and transaction of an organization and its employees <b>(AS 4390 Part 1 – Clause 4.6)</b>
<b>Classification</b>	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. <b>AS ISO 15489 Part 1 Clause 3.5</b>
<b>Disposal</b>	A range of processes associated with appraising documents and files for retention, deletion or destruction.
<b>Electronic Messages</b>	Communications sent or received via an electronic messaging system. These may be in the form of electronic mail, voice mail or electronic data interchange (EDI) messaging and includes attachments. Messages may be received or sent internally and/or externally.
<b>File</b>	A file is a collection of documents, which show organisational activities through an identifiable sequence of transactions. A file can be physical or electronic.
<b>Normal Administrative Practice</b>	Is a provision under the State Records Act 1998 that provides for the destruction of records whose destruction is not otherwise covered by a specific law or an authorized records authority.
<b>Record</b>	A document or other source of information in any format, created, received or maintained by Council
<b>Recordkeeping</b>	Making, maintaining and capturing a complete, accurate and reliable evidence of business activities.
<b>Records Management</b>	Field of management responsible for the efficient and systematic control of the creation, receipt, maintenance, use and disposition of records, including processes for capturing and maintaining evidence of and information about business activities and transactions in the form of records. <b>AS ISO 15489 Part 1 Clause 3.16</b>
<b>Sentencing</b>	The method used to action records according to a retention and disposal authority.

<b>Social Media</b>	<p>Social media is a form of electronic communication (as Web sites for social networking and microblogging) through which users create online communities to share information, ideas, personal messages, and other content (as videos)</p> <p><b>Merriam-Webster.com. Merriam-Webster, n.d. Web.28 Dec.2014</b></p>
<b>State Record</b>	<p>Any record, made and kept, or received and kept, by any person in the course of the exercise of official functions in a public office, or for any purpose of a public office, or for the use of a public office.</p> <p><b>State Records Act 1998 (NSW)</b></p>

## 5. Principles

### 5.1 Records Management Program

- Records Management operations must comply with relevant legislation and approved standards and procedures
- The General Manager has authority to issue policy, procedures and guidelines on records management and monitor compliance.
- The Director Corporate Services is responsible for implementation of the records management program.
- The Group Manager Customer and information Services is responsible for the efficient management and security of all Council records.
- Each Section Manager is accountable for the effective management of records.
- All staff are responsible for the capture, maintenance and security of records related to their business transactions. This includes records in any format, including hard copy, electronic documents and electronic messaging.

### 5.2 Creation and capture

- All staff are obliged to create and maintain records of all decisions and actions made in the course of their official business. This includes recording key points of business transacted by telephone and minutes of official meetings.
- Managers are responsible for monitoring their staff to ensure that they create and capture records of business transactions.
- City of Canterbury will support business activities by providing an electronic customer management system (ECM) to assist staff to create and maintain records. Business rules for capture of official records are documented and published on the intranet.
- Continue to maintain a hard copy filing system for particular types of files such as development applications

### 5.3 Access to Council Records

Access to Council Records will be considered in conjunction with the requirements of:

- Privacy and Personal Information Protection Act 1998
- Government Information (Public Access) Act (GIPAA) 2009

## 5.4 Records Security

- Records of all formats should be stored securely to prevent unauthorized access, destruction, alteration or removal
- Council staff are responsible for the safe custody of all files and documents allocated to them and confidential information must be stored securely. Files should be returned to the records section when action is complete
- ECM has a number of different security classifications, so that confidential documents, stored electronically are only available to nominated officers.
- Electronic records should be retained on line (on servers) or offline (on CD Roms, DVDs, magnetic disks or other removable media)
- Records which are no longer active and rarely used should be transferred to the Government Records Repository (GRR)

## 5.5 Tracking

- Records staff conduct a scan of file movements on a periodic basis (normally weekly)
- Scanners are provided in records storage areas so that staff can record file movements, details of which will be uploaded on a daily basis
- Staff are aware of their mandatory responsibility to record movement of files through training, policy and procedures

## 5.6 Disposal and Destruction of Records

- Staff cannot initiate the disposal or destruction of corporate records without consultation with the Group Manager Customer and Information Services and the records section; and approval from Director Corporate Services.
- Hardcopy Records can only be destroyed in accordance with the General Authority (GA39) but when the record is also captured electronically in a corporate records system, the hardcopy record can be destroyed under General Authority (GA 36)
- Records that are identified as State archives must be retained indefinitely.
- Council records must be protected, maintained and easily located for their total retention period and must be disposed of in accordance with the State Records Act 1998 and Council's disposal procedures.

## 5.7 Normal Administrative Practice

The State Records Act provides for limited disposal of records without specific authorisation of State records under the Normal Administrative Practice provisions. These include records of little value that only need to be kept for a short period or routine instructional documents which need to be kept for a few hours or a few days.

State Records Guideline No 8, Normal Administrative Practice outlines what can be disposed of under this provision of the Act and should be used to make a decision if in doubt.

The following is a list of the kind of documents that can be destroyed under Normal Administrative Practice but you should refer to the Records Area if you would like clarification.

- Draft documents and working papers of a routine nature

- Working papers/records of an instructional nature which have been used to prepare a final version of a document and are not required for accounting purposes
- Information copies or duplicates of records that have already been captured in the recordkeeping system
- Computer records which have been acted upon or superseded and not required for ongoing business transactions
- Instructions that can be disposed of may include correcting typing errors, file creation or retrieval, formatting documents, internal distribution lists
- Messages in the form of e mail, voice mail, fax, post it notes, telephone messages, file notes can be disposed of if they only have short term value or have been captured into a recordkeeping system
- Unused stationary, printed forms or letterheads
- Junk mail such as brochures, catalogues or price lists

## **5.8 Value of Records as a corporate asset**

The records of City of Canterbury are an essential resource for information as they:

- are a vital asset which document precedents Council can use to make future decisions.
- exist for a variety of administrative, functional, historical and legal reasons.
- are the major component of the Council's corporate memory and provide evidence of business transactions and decisions.
- support policy formulation and consistent and equitable decision making.
- are evidence of business activity ensuring staff meet their legislative and administrative responsibilities.

## **6. Responsibilities**

### **6.1 General Manager**

The General Manager is responsible for ensuring that City of Canterbury complies with:

- the requirements and standards of the State Records Act.
- other legislation relating to records management and recordkeeping.

### **6.2 Corporate Records Manager**

- The Corporate Records Manager (CRM) is the Director Corporate Services.
- Ensures that the Records Management Program is adequately resourced
- Represents records management interests at Executive
- Ensures the preservation of digital records is addressed in policy, planning and implementation of the public office's records management program
- Authorises the disposal of records, in liaison with Group Manager Customer and information Services

### **6.3 Records Section**

Implementation of the Records program is the responsibility of the Group Manager Customer and information Services in conjunction with staff from the Records Section who:

- monitor compliance with Records Management policy and procedures
- ensure that all staff are aware of their recordkeeping responsibilities
- are responsible for the conduct of records management operations

### **6.4 Managers**

- Ensure that records which are created and managed within their section comply with the Records Management Policy and Procedures
- Ensure that staff are trained in how to create and manage records

### **6.5 All staff**

- Must comply with Records Management Policy and Procedures
- Must keep full and accurate records of business activities and store them in the corporate records system. This includes notes of telephone conversations, minutes of meetings, oral decisions or commitments are to be made contemporaneously to ensure that they are accurate.
- Must protect records from unauthorized access and obtain approval for their disposal or destruction.

### **6.6 Contractors**

- Manage records that they create on behalf of City of Canterbury according to the terms of their contract

### **6.7 Training**

- Council will support staff by including Record's management training in induction programs and by providing training in the use of the Electronic Content Management System, DataWorks.

### **6.8 Monitoring the Records Management Program**

- The records management program will be monitored regularly by the Group Manager Customer and information Services and the Records Co-ordinator.
- We will conduct an internal survey every two years with results and recommendations sent to the Executive for consideration.

## **7. Procedures**

Business Rules – Refer to Records Procedures / Operations Manual (RPOM)

File Creation – Refer to (RPOM)

Classification - Refer to (RPOM)

Batch scanning – Refer to (RPOM)

Document Registration - Refer to (RPOM))

File Census (Location)- Refer to (RPOM)

Appraisal and Disposal of Records – Refer to (RPOM)