




Records Policy

Date policy was adopted:	24 June 2020	CEO Signature and date 
Resolution number:	171/20	
Next Policy review date:	2024	
Reference number:	52.5.4	
Strategic Pillar	Community Choice	
Responsible Branch	Community and Education	25 June 2020

Records Policy

1. OUTCOMES

- 1.1 Ensure all Councillors and staff, including contractors, meet their record keeping requirements as required by NSW legislation.

2. POLICY

- 2.1 Council is committed to meeting its record management responsibilities as required by the *State Records Act 1998*.
- 2.2 Council must ensure that full and accurate records of all its activities and decisions are created, managed and retained or disposed of appropriately, and in accordance with the requirements of NSW legislation.

3. SCOPE OF THE POLICY

- 3.1 This policy applies to all Council Officials which includes Council Staff and Councillors who deal with corporate records and anyone who performs work on Council's behalf including casuals, volunteers, contractors and consultants.
- 3.2 This policy applies to all Council records in any format, created, received or maintained by Council for official business.

4. DEFINITIONS

Council official — includes councillors, members of staff of a council, administrators, council committee members and delegates of council.

Recordkeeping — making and maintaining complete, accurate and reliable evidence of business transactions in the form of recorded information.

Recordkeeping requirements — requirements arising from regulatory sources, business needs and community expectations that identify the types of records that should be created and the management framework needed in order to have, and accountably manage, all the business information that is necessary for an organisation.

Recordkeeping systems — business information systems capable of capturing, maintaining and providing access to records over time.

Records — information created, received, and maintained as evidence and information by an organisation or person, in pursuance of legal obligations or in the transaction of business. AS ISO 15489 Part 1 Clause 3.15. Record means 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 (*NSW State Records Act 1998*). [NOTE: This can also include personal/private information generated by Council officials on Council owned systems and hardware].

Records management — field of management responsible for the efficient and systematic control of the creation, receipt, maintenance, use and disposal of records, including processes for capturing and maintaining evidence of and information about business activities and transactions in the form of records AS ISO 15489 Part 1 Clause 3.16.

Records management program — encompasses the management framework, the people and the systems required within an organisation to manage full and accurate records over time.

Records Policy

This includes the identification and protection of records with longer-term value that may be required as State archives.

5. LEGISLATIVE OBLIGATIONS AND/OR RELEVANT STANDARDS

- *NSW State Records Act 1998*
- *NSW Local Government Act 1993*
- *NSW Government Information (Public Access) Act 2009*
- *Copyright Act 1968*
- *Environmental Planning & Assessment Act 1979*
- *NSW Privacy & Personal Information Act 1998*
- International Standard on Records Management AS ISO 15489-2017
- QPRC Information Management Strategic Plan 2019
- QPRC Code of Conduct

6. CONTENT

6.1 *Purpose of this Policy*

6.1.1 The purpose of this Records Policy is to ensure that full and accurate records of all activities and decisions of the Council are created, managed and retained or disposed of appropriately, and in accordance with relevant legislation. This will:

- (a) Enable the Council to achieve information accessibility, business enhancement and improvement.
- (b) Allow Council to meet its obligations for accountability while ensuring that it protects the rights and interest of the Council.
- (c) Ensure that Council is complying with NSW legislative requirements in respect of record management.

6.2 *Application of this policy*

6.2.1 All Council Officials must comply with the policy, and associated Records Management Directive and Business Rules, in their conduct of official business for the Council. This policy applies to records in all formats.

6.3 It is the responsibility of Council Officials to ensure that records created by them in the performance of their duties are properly preserved in Council's Record Management System (ECM).

6.4 All records and documents (regardless of format) created and/or received by Council Officials on Council-owned systems/hardware belong to QPRC and as such are assets for the use of Council and the community where appropriate.

6.5 It is the responsibility of Council Officials to comply with Council's record management processes to ensure they meet their record keeping responsibilities and that the records they create are full and accurate and saved into Council's Record Management System (ECM).

6.6 In particular, Council Officials have an obligation to:

- (a) Make records to support the conduct of their business activities
- (b) Make file notes to record verbal advice provided to customers in face-to-face meetings or on the telephone
- (c) Register records into Council's Records Management System (ECM)

Records Policy

- (d) Learn how and where records are kept within Council
- (e) Not dispose of or destroy records (see Cl.6.7)
- (f) Not lose records (if in hardcopy format)
- (g) Meet their training requirements for 'good record management'.

6.7 ***Disposal of Records***

6.7.1 The disposal of Council records is only to be carried out by authorised QPRC Council staff in accordance with the State Records General Disposal Authorities (GA39, GA45) and in consultation with the Team Leader Records.

6.8 Council Officials are obliged to attend Records Management education and training courses to ensure their compliance with recordkeeping requirements as set out in this policy and the Information Management Strategic Plan 2019.

6.9 Council Officials need to understand their general conduct obligations as set out in the QPRC Code of Conduct which requires them to *'act lawfully and honestly, and exercise a reasonable degree of care and diligence in carrying out [their] functions...'* This requirement applies directly to the obligations as set out in Clause 6.6 of this policy.

7. **REVIEW**

7.1 This policy will be reviewed every four years or earlier as necessary if:

- (a) legislation requires it, or
- (b) Council's functions, structure or activities change.