



**TITLE: RECORDS AND INFORMATION
MANAGEMENT POLICY**

REFERENCE NUMBER:	DOC/19/326
RESPONSIBLE DEPARTMENT:	Corporate Services
APPLICABLE LEGISLATION:	<ul style="list-style-type: none">• State Records Act 1997• Local Government Act 1999• Corporations Act 2001• Electronic Transaction Act 2000• Evidence Act 2001• Financial Transactions Reports Act 1988• Income Tax Assessment Act 1997• Freedom of Information Act 1991• AS:ISO-15489.1 – Information and Documentation – Records Management
MOUNT BARKER 2035 – DISTRICT STRATEGIC PLAN:	Governance and Leadership GL2: Objectives and Strategy GL2.1 Demonstrate accountability through clear, relevant and easily accessible policies and corporate reporting GL 2.10 Ensure compliance with legislative requirements
RELATED POLICIES:	<ul style="list-style-type: none">• Code of Conduct for Council Employees• Code of Conduct for Council Members• Electronic User Agreement
SUPPORTING PROCEDURES:	<ul style="list-style-type: none">• Records Management Procedure for Council Members• Procedure – Document and Records Management (Employees)
PREVIOUS REVIEW DATES:	DECEMBER 2014
ENDORSED BY COUNCIL:	21 JANUARY 2019
NEXT REVIEW DATE:	DECEMBER 2021

1. PURPOSE

The Mount Barker District Council (the Council) records are a vital asset that support our daily functions and operations by providing evidence of actions and decisions that have been made, therefore demonstrating good governance and enhancing the reputation of the Council through transparent and accountable government.

This policy provides the framework for the Council to effectively fulfil its obligations and statutory requirements under the *State Records Act 1997*.

2. SCOPE

This policy applies to the capture, control, storage, access and disposal of records and applies to all Council employees, Council Members, representatives, consultants, and contractors employed or engaged by the Council and other authorised personnel offered access to Councils resources.

This policy applies to records of all work undertaken by or on behalf of the Council, and in all media or formats that are contained in all business systems.

Employees of Council are required to adhere to the requirements of this policy in accordance with the Code of Conduct for Council Employees.

Council Members are required to adhere to the requirements of this policy in accordance with the Code of Conduct for Council Members.

3. DEFINITIONS

This section provides definitions for terms that have particular meaning or have a need for some interpretation related to this policy.

TERM	DEFINITION / EXAMPLES	ASSOCIATED TERMS
RECORDS	<p>Any information that you create or receive as part of your work for the Council, regardless of format, for example:</p> <ul style="list-style-type: none">○ Databases○ Digital documents (Word, Excel, PowerPoint, PDF)○ Digital images (photographs, microfilm, microfiche)○ Email○ Instant Messages○ Ledgers, volumes○ Physical Records (hard copy documents)○ Social Media (Twitter, Facebook, wikis, blogs, YouTube)	<p>METADATA – data describing the context, content and structure of records and their management through time.</p>

TERM	DEFINITION / EXAMPLES	ASSOCIATED TERMS
	<ul style="list-style-type: none"> Website and Intranet Content 	

4. ROLES & RESPONSIBILITIES

Specific responsibilities and accountabilities for records and information management at the Council include:

COUNCIL MEMBERS

Council Members must provide records to Council to be stored HPE Content Manager.

CHIEF EXECUTIVE OFFICER

As prescribed by Section 99 of the *Local Government Act 1999*, the Chief Executive Officer is responsible for ensuring that systems are in place to cause all records required under any legislation to be kept and maintained properly.

GENERAL MANAGERS

General Managers are responsible for ensuring staff are aware of and comply with policies, procedures or systems designed to effect the appropriate collection, storage and maintenance of business records.

MANAGER, REVENUE, PROPERTY & RECORDS

The Manager, Revenue, Property & Records will ensure that staff are made aware of the new Policy which will be placed on Council's website and intranet.

ALL EMPLOYEES

All members of staff (including volunteers and those under contract) have a responsibility to create, capture and manage appropriately complete and accurate records of the Council's business, including records of decisions made, actions taken and transactions of daily business.

All members of staff (including volunteers and those under contract) must comply with the Council's Information Governance Program as documented in its policies, procedures and processes.

Responsibilities for Capture, Control, Disposal, Storage and Access to records are organised as lists of tasks that must be completed by an individual or department.

RECORDS AND INFORMATION MANAGEMENT DEPARTMENT

The Records and Information Management Department is responsible for the efficient management of the Council's Electronic Document Records Management System (EDRMS), ensuring that sound recordkeeping principles and records management best practice guidelines are followed and adhered to.

Records and Information Management staff are responsible for:

- Ensuring new users are added to the EDRMS as part of the new user induction program
- Ensuring records are captured uniformly across the Council and stored in approved corporate systems
- Maintaining the integrity and authenticity of records
- Managing the storage of hardcopy records located onsite and offsite

- Managing the disposal of records under approved disposal schedules and maintaining the register of destroyed records
- Ongoing review and amendment of disposal schedules
- Ensuring the system is accessible and performing appropriately on a day to day basis
- Responding to user requests for assistance with records management or EDRMS issues.

5. POLICY STATEMENT

The Council is committed to implementing best practice in the management of our records and information, ensuring that it is undertaken in accordance with our business and legislative requirements.

5.1 RECORDKEEPING SYSTEMS

The Councils endorsed recordkeeping systems is HPE CONTENT MANAGER.

Employees should only use HPE CONTENT MANAGER or the Business Systems, as detailed in this section, to manage their records. Employees **should not** store or manage records in the following areas:

- ✗ Council Email System
- ✗ Local Drives
- ✗ Portable Storage Devices
- ✗ Shared Drives
- ✗ Personal Place of Residence

Employees should not store or manage records in the above areas as the capture, control, storage, access and disposal of records in these areas cannot be applied.

The following table details Council Business Systems, which in their own right are Council records due to the metadata and in some cases documents they contain, and how they interact with the Council's recordkeeping system HPE CONTENT MANAGER.

BUSINESS SYSTEM	DESCRIPTION	RECORDS MANAGEMENT
AUTHORITY	Council's main Corporate Database. A fully integrated software system that allows real-time sharing of data between all modules.	All documents generated through Authority are automatically captured into the Council's recordkeeping system HPE CONTENT MANAGER.

BUSINESS SYSTEM	DESCRIPTION	RECORDS MANAGEMENT
SPECTRUM SPATIAL ANALYST	SPECTRUM SPATIAL ANALYST is an interactive map interface that displays a large range of spatial data including displaying attribute information from integrated Corporate Systems (Authority and MyData) in addition extends to bi-direction integration to HPE CONTENT MANAGER for record retrieving through the Map2HPE CONTENT MANAGER middleware.	<p>Only metadata is held within SPECTRUM SPATIAL ANALYST no documents are stored within the system.</p> <p>Querying the system dynamically returns records from HPE CONTENT MANAGER as required and metadata from Authority, HPE CONTENT MANAGER and MyData as needed.</p>
IMPS	Database that contains immunisation and vaccination records for members of the public that have participated in the Councils Immunisation Program.	<p>Only metadata is held within IMPS no documents are stored within the system.</p> <p>Records relating to the metadata are held within TRIM.</p>
MY DATA	Detailed information on Council infrastructure assets e.g. buildings, roads, footpaths, storm water pipes and pits, waste water pipes and access points, retention and detention basins, seal and unsealed roads, open space and playgrounds.	<p>Only metadata is held within MY DATA no documents are stored within the system.</p> <p>Records relating to the metadata are held within HPE Content Manager.</p>
PLANET FOOTPRINT	Web based platform that coordinates the capture of all the Councils energy, water, greenhouse and other performance data	<p>Only metadata is held within PLANET FOOTPRINT no documents are stored within the system.</p> <p>Records relating to the metadata are held within TRIM.</p>
SYSTEM MANAGEMENT SYSTEM (SMS)	A database system which manages data regarding HACC clients and services.	<p>Only metadata is held within SMS no documents are stored within the system.</p> <p>Records relating to the metadata are held within TRIM.</p>

BUSINESS SYSTEM	DESCRIPTION	RECORDS MANAGEMENT
VOLUNTEER 2	Volunteer Management Software assists the Council to engage volunteers effectively and efficiently. Includes online application forms, searchable database, flexible scheduling.	Only metadata is held within Volunteer 2 no documents are stored within the system. Records relating to the metadata are held within TRIM.

5.2 DIGITISATION

The Council is committed to undertaking the digitisation of records wherever possible in order to realise the following benefits:

- Facilitate streamlined capture of records and information into business systems
- Minimise costs associated with the storage and retrieval of physical records
- Enable greater information discovery throughout the organisation

Council employees will ensure that digitisation activities will be carried out in accordance with the organisational digitisation procedures.

The digitisation procedures will establish and maintain compliance of digitisation activities with legislative, regulatory and industry best practice requirements.

5.3 ARCHIVING AND DISPOSAL

All records are to be stored and maintained within an approved storage facility with an environment that will facilitate the safe and efficient preservation and access of records and information. Records that are no longer required for operational or regulatory compliance purposes will be managed in accordance with approved retention and disposal schedules which document the minimum retention periods applicable before a document can be disposed of legally.

Council employees will ensure that archiving and disposal activities will be carried out in accordance with the organisational archiving and disposal procedures.

The archiving and disposal procedures will establish and maintain compliance of archiving and disposal activities with legislative, regulatory and industry best practice requirements.

5.4 BUSINESS CLASSIFICATION SCHEME (BCS)

The BCS is the definitive classification tool utilised by the organisation. The BCS is a centralised file structure that is designed to allow records and information to be classified according to the function or activity that they relate to.

The BCS document contains an indication of the development and review process for future changes to the classification.

6. REVIEW

This Policy will be reviewed every four (4) years or earlier in the event of changes to legislation or related Policies and Procedures or if deemed necessary by the Manager, Revenue, Property & Records.

7. ACCESS TO THE POLICY

The Policy is available for public inspection at the Customer Service Centre, at the Local Government Centre, 6 Dutton Road, Mount Barker, South Australia and on the Council's website www.mountbarker.sa.gov.au.

8. FURTHER INFORMATION

For further information on this Policy, please contact:

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