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Records Management Policy

REFERENCE NUMBER: New P-61
ORGANISATION UNIT: All
RESPONSIBLE POSITION: Chief Executive Officer
RELEVANT DELEGATIONS: Director Finance and Corporate Services
DATE ADOPTED: April 2015 (CRN 051/2015)
REVIEW DATE: Every three years

Objective:

The objective of this policy is to outline responsibilities and obligations for all staff in the creation, capture, management and disposal of records created or received by Central Desert Regional Council (CDRC).

Legislation and Reference:

CDRC recognises its legislative and regulatory requirements as a Public Sector Organisation, Local Authority Agency of the Northern Territory of Australia and obligations under the Northern Territory Information Act and other legislative requirements and standards.

- Information Act, in particular Part 9
- Local Government Act 2014
- Local Government (Administration Regulations, in particular Part 5
- All relevant legislation under which the Council has responsibilities
- Records Management Standards for Public Sector Organisations in the Northern Territory

Enforcement

Offences under the Local Government Act and the Information Act include:

- Providing unauthorised access to the Council's records
- Destroying, damaging, concealing or removing records
- Mishandling, transferring control of, or altering records
- Providing false or misleading statements or false or misleading material
- Concealing or disposing of records to prevent access or correction
- Disclosing confidential information and improper use of confidential information.

Penalties under the Local Government Act and the Information Act range from 50 penalty units to 400 penalty units.



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Scope:

- All CDRC staff, regardless of employment type
- All aspects of CDRC business operations
- All types and formats of records created to support business activities
- All business applications used to create records
- Organisations and businesses, including their employees, to which CDRC has outsourced its functions or activities, and therefore associated recordkeeping responsibilities
- It does not relate to records created by any other agencies, except where they form part of CDRC.

Policy Statement:

Central Desert Regional Council is committed to good governance and ensuring that complete an accurate records of the business of Council are created and managed using an approved recordkeeping system for as long as required. That is to support business, accountability and legislative requirements until their disposal in accordance with an authorised retention and disposal schedule.

These records provide evidence of Council's functions and activities and form part of the public record. Council acknowledges its recordkeeping responsibilities and accountability to government, clients, the local community and the public generally.

This policy applies to all staff of the Council and to records of all business activities performed by or on behalf of the Council regardless of the media in which they are created or captured. All practices, systems and procedures pertaining to recordkeeping are to be consistent with this policy.

Approved Recordkeeping System

The Council will maintain an Electronic Records Management System (ERMS) for the management of its records in all media (excluding records held in core business information systems). The key processes managed by this system will include:

- The capture and storage of authentic, reliable and usable records;
- Security and access to such records; and
- The disposal of records in accordance with the Council's authorised retention and disposal schedule

Record Keeping Principles:

Council requires that:

- All staff must create and maintain complete records of all business activity.



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- Records must be captured into the ERMS according to data entry standards and business rules. These guides are issued separately. Staff must not keep records of Council in separate, individual filing systems or on a hard drive or other storage device.
- All records must be classified in accordance with Council's business classification scheme.
- Staff must protect records by applying appropriate levels of security and access
- Physical files must be kept in secure areas. The location of physical files must be kept up to date at all times within the recordkeeping system.
- No staff member can dispose of Council records unless authorised to do so.
- A retention and disposal schedule is developed and routinely assessed and applied.

Roles and Responsibilities

This section defines the duties and responsibilities of all CDRC staff with respect to recordkeeping.

The **Chief Executive Officer** is responsible for:

- Ensuring compliance with this policy
- Supporting and fostering a culture of good recordkeeping in the organisation
- Nominating the Executive/s in charge of record keeping

All **Directors, Managers, Supervisors and Coordinators** are responsible for:

- Supporting and fostering a culture of good recordkeeping in CDRC
- Ensuring the departmental resources to support recordkeeping practices
- Ensuring that officers under their management are aware of their responsibility to maintain accurate records of business
- Implementing measures to monitor compliance and to address inadequacies in recordkeeping practices.

Director Finance and Corporate Services is responsible for:

- Ensuring CDRC recordkeeping policy and practices comply with CDRC obligations and responsibilities as a Northern Territory Local Government Agency and are maintained/updated as required
- Ensuring that the technology used to support the systems that capture and keep records electronically are reliable, available and accessible to CDRC staff when required and is practicable
- Ensuring the resources to develop and manage recordkeeping policy and processes, system maintenance and organisational training and support
- Authorising the appropriate disposal of records

The **Records Officer/s** is responsible for:

- Ensuring this policy is reviewed and is up to date
- Ensuring that all CDRC staff are regularly reminded of their recordkeeping responsibilities



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- In consultation with Director, authorising each approved recordkeeping support system
- Ensuring CDRC adheres to appropriate record retention and disposal requirements
- Ensuring the EDMS is available, reliable and accessible to staff when required
- Supporting the implementation of EDMS upgrades and enhancements
- Supporting and fostering a culture of good recordkeeping, regular education and training of staff
- Monitoring and measuring compliance of recordkeeping support systems with this policy

All staff are responsible for:

- Fully understanding their recordkeeping obligations and responsibilities relating to their position
- Adhering to CDRC policy, procedures and standards in maintaining records as required by their daily tasks
- Create and capture of records in the appropriate recordkeeping system for specific business activities as outlined in this policy
- Attending mandatory records management and EDRMS training
- Ensure they do not destroy records without the correct authorisation
- Be accountable for their actions and decision making to the general public, the Northern Territory Government and to CDRC stakeholders.

History:

This is a new policy - adopted at Ordinary Council Meeting on 10 April 2015.