

NARACOORTE LUCINDALE COUNCIL

COUNCIL POLICY RECORDS MANAGEMENT

No. 102
Version 1

RESPONSIBLE OFFICER:	Chief Executive Officer
RELEVANT DELEGATIONS:	All Employees
LEGISLATION AND REFERENCES:	State Records Act 1997 Local Government Act 1999 General Disposal Schedule 40 (GDS40)

PURPOSE OF POLICY

- To ensure Council is effectively fulfilling its obligations and statutory requirements under the *State Records Act 1997*
- To recognise that records are vital assets of Council
- To maintain official records in good order and condition
- To ensure that records are maintained in an effective way to allow access to information in a timely and comprehensive manner to meet the business, legal, evidential and accountability requirements of Council
- To provide direction on the recommended practice and legislative requirements regarding the management of records
- To provide direction on the capture, retention and disposal of official records

BACKGROUND

Records are a vital asset and source of essential information that support Council's functions and operations. They provide the evidence for decisions and actions taken and information on the implementation, progress and completion of programs and projects. Records provide the history of our Council area.

The *State Records Act 1997* governs the obligations and responsibilities of Councils in relation to the management of official records.

Section 13, Part 5 states that every agency must ensure that the official records in its custody are maintained in good order and condition.

A Council is defined as an agency.

Council Members and staff of the Council act as representatives of the Council, therefore any information created, sent, received, forwarded or transmitted by Council staff and/or Council Members, irrespective of format, in the performance and discharge of their functions and duties may be classified as an **Official Record**.

Information created, sent, received, forwarded or transmitted by consultants, contractors or other parties performing work for Council, in relation to Council programs, projects, processes or policies may be classified as an **Official Record**.

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State Records may issue standards relating to the records management practices of Agencies. Standards relating to records management are only binding on administrative units of the public service and agencies or instrumentalities of the Crown, not Local Government.

OFFICIAL RECORDS

A record means:

- written, graphic or pictorial matter; or
- a disk, tape, film or other object that contains information or from which information may be reproduced (with or without the aid of another object or device).

An **Official Record** is a record made or received by the Council in the conduct of its business, but does not include -

- (a) a record made or received by an agency for delivery or transmission to another person or body (other than an agency) and so delivered or transmitted; or
- (b) a record made by an agency as a draft only and not for further use or reference; or
- (c) a record received into or made for the collection of a library, museum or art gallery and not otherwise associated with the business of the agency; or
- (d) a Commonwealth record as defined by the *Archives Act 1983* of the Commonwealth, as amended from time to time, or an Act of the Commonwealth enacted in substitution for that Act; or
- (e) a record that has been transferred to the Commonwealth;

Official Records must not be intentionally damaged, altered, disposed of or removed without authorisation to do so.

Official Records include:

- Audio recordings of meetings created by Council, or by another party and provided to Council
- Diaries, appointment books and calendars
- Drafts which document significant decisions, reasons and actions or contain significant information that is not contained in the final document
- Drafts of legal documents, contracts and tenders
- Working papers that relate to significant decisions or actions and contain reasons
- File notes
- Emails
- Letters
- Reports
- Council, Committee & Working Group Committee agendas and minutes
- Petitions
- Election Material
- Legislative documents that must be created by Council, such as budgets, annual business plans, strategic documents
- Returns and surveys
- Details of events and activities held by Council
- Records that have continuing or historical value for Council and / or the community

- Financial transactions

A record that is transitory or temporary in nature is one that has little or no continuing value to the Council and only needs to be kept for a limited or short time period.






CORPORATE RECORDS MANAGEMENT SYSTEM

The following systems form Council's Corporate Records Management System: -

- SynergySoft Records Module – for capturing, tracking and recording actions taken in regards to incoming, outgoing and internal documents (written, email, disc, memory stick or other media)
- SynergySoft / Altus – for capturing property, procurement and financial transactions
- Your Say Platform – for capturing survey responses and other engagement activities
- Planning SA Portal – for development applications received after 1 July 2020
- DACO – for dog & cat registration details
- Skytrust – for capturing risk management and work health and safety hazards and incidents and various inspections
- Vendor Panel – for capturing tender submissions sought via this program
- AssetMaster – for capturing data and financial information in relation to roads and stormwater assets
- ESRI – for capturing maintenance / defect / renewal information that can be used to inform works programs, asset revaluations and asset management plans
- Nominated network drives for human resource files, financial reports and project files

NETWORK DRIVES

The following network drives are used internally by Council staff:

-  stringerf (\\fs1\users) (H:)
-  File Structure (\\nlc02) (O:)
-  Corporate Documents (\\nlc02) (P:)
-  Synergy Documents (\\nlc02) (S:)
-  nlcdata (\\nlc02) (Z:)

'H' Drive is used for saving personal documents or those an employee is working on and may not have prepared to a stage where they wish to share with others. This drive is mapped to individual employees and not accessible to other employees.

'O' Drive is no longer used and is in the process of being archived.

'P' Drive is where final documents that are to be available to all employees are filed, generally in PDF format. Employees can confidently access documents on this drive knowing that they are the latest

version. This drive is predominantly used as the source location for documents loaded to Council's webpage. The owner of the working document is responsible for ensuring that the latest copy is saved to the P drive. Access to the folder titled 'Employees – Performance Development Reviews' is restricted.

'S' Drive is where template documents and reports are saved that are used within Council's SynergySoft program. The ability to edit documents in this drive is restricted.

'Z' Drive is the working drive where all employees create and save master and working documents. Master documents include the word / excel version of strategic documents, templates, correspondence, working papers, etc.

The following 'Z' Drive folders have restricted access: -

- Corporate Services/End of Year Financials/EOY ***/Assets
- Human Resources
- Meetings – Council and Committees/Council/Confidential Reports

Other folders may have restrictions applied upon request

Documents created by employees belong to Council and not the individual employee, therefore open access is encouraged, except for in the case of sensitive or confidential documents.

CAPTURING OF RECORDS

Council staff must ensure that **Official Records** are captured in Council's corporate records management system.

Council staff responsible for the management of a contractor, consultant or other parties performing work for Council are responsible for capturing **Official Records** in Council's corporate records management system.

Council members must forward **Official Records** to Council's Records Officer at council@nlc.sa.gov.au to ensure they are captured in Council's corporate records management system.

DISPOSAL OF RECORDS

Normal Administrative Practice provides for the routine destruction of drafts, duplicates and publications, with the test that it is obvious that no information of more than transitory or temporary value to the Council will be disposed of. Such material has no ongoing value and is not captured in Council's corporate records management system.

Official Records must only be disposed of in accordance with the General Disposal Schedule No 40 (GDS40) for local government authorities in South Australia. The GDS40 may be viewed by contacting Council's Records Officer.

Not all **Official Records** of Council are permanent records. Many are classed as temporary and can be disposed of after a certain time period.

Only Officers with delegated authority may dispose of **Official Records**.

Council's preferred method of destruction for records in physical format is shredding. Records in electronic format should be permanently destroyed as advised by Council's Systems Administrator.

STORAGE

Temporary **Official Records** received in hard copy will be stored in source boxes and retained by Council for a minimum of 12 months.

Permanent **Official Records** received in hard copy will be filed in the Records Compactus.

Archival sites for hard copy records include the Records Room at 80 Ormerod Street, Naracoorte, Records Room at the Naracoorte Depot and the Lucindale Office.

SECURITY

The security of all Council records is crucial, as records provide evidence for decisions and actions taken and information on the implementation, progress and completion of programs and projects. Records provide the history of our Council area.

Council staff are responsible for the safe custody of all records that they receive, send or are responsible for. Sensitive or confidential information should be treated with care and access by others restricted.

File storage units containing sensitive or confidential records should be locked to prevent unauthorised access.

Council's corporate records management system will have appropriate security access levels established to ensure access to sensitive or confidential records is limited.

Council's network drives will have appropriate security applied to ensure access to sensitive or confidential records is limited.

Council staff accessing records remotely are responsible for ensuring the record is not shared with unauthorised persons.

RESPONSIBILITIES

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.

Director Corporate Services

Director Corporate Services is responsible for ensuring that appropriate systems are in place to effectively capture, retain and dispose **Official Records** of Council in an effective way to allow access to information in a timely and comprehensive manner to meet the business, legal, evidential and accountability requirements of Council.

Senior Managers

Senior Managers are responsible for:

- Ensuring that staff comply with this policy, associated procedures and guidelines
- Advocating good record keeping as part of normal business processes
- Monitoring response and close out times of departmental records

Records Officer

Council's Records Officer is responsible for: -

- The day to day operation of the corporate records management system
- The capturing **Official Records** that are received by mail, delivered in person or received in Council's corporate email inbox
- Sentencing and disposal of Records in compliance with GDS40, GDS21 and any other general disposal schedule specifically developed for local government
- Archiving of records to secondary storage sites, including State Records archives
- Assisting staff and Council Members in fulfilling their record keeping responsibilities
- Providing advice and training in relation to the principles of records management and the corporate records management system
- Monitoring staff record keeping practices and providing additional training where required

All Staff

Council staff are responsible for: -

- Developing an awareness and understanding of this policy, associated procedures and guidelines
- Capturing **Official Records** and all actions taken in the corporate records management system
- Actioning records that have been assigned to them as the responsible officer
- Not disposing of records without first consulting the Records Officer

Elected Members

Council members must forward **Official Records** to Council's Records Officer at council@nlc.sa.gov.au to ensure they are captured in Council's corporate records management system.

DELEGATIONS

The Director Corporate Services, Corporate Services Officer and Records Officer are delegated authority, subject to the requirements of the State Records General Disposal Schedules relating to Local Government to dispose of **Official Records**.

OTHER RELEVANT POLICIES / PROCEDURES

Other Council Policies and Procedures which may be relevant and require consideration when applying this policy include –

Internal Controls

Records Management Guidelines

Council Delegations and Sub-Delegations

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POLICY REVIEW

This Policy will be reviewed every four years.

AVAILABILITY OF POLICY

The public may inspect a copy of this policy, without charge, at the Council's Naracoorte and Lucindale offices during office hours, and may obtain a copy for a fee fixed by Council.

Council employees can access a copy of the policy on Council's network or by contacting the Responsible Officer.

The Policy is also available on Council's website www.naracoortelucindale.sa.gov.au

ADOPTION AND AMENDMENT HISTORY

<i>Date</i>	<i>Authorised by</i>	<i>Minute Reference</i>
July 2025	Next Review Due	
27 July 2021	Council	Resolution 17/22 - Adopted