

Records Management Policy

IR05-CP (Superseding IR05-CP Records Management Policy v1)



Hard copies of documents are uncontrolled and may not be current - please refer to the electronic version.

1. Purpose

The purpose 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 MacDonnell Regional Council (MRC) to ensure compliance with relevant legislation and standards.

2. Scope

This policy applies to all MRC staff and for 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. It covers:

- 2.1 All MRC staff, regardless of employee type.
- 2.2 All aspects of MRC business operations.
- 2.3 All types and formats of records created to support business activities.
- 2.4 All business applications used to create records.
- 2.5 Organisations and businesses, including their employees, to which MRC has outsourced its functions or activities, and therefore associated recordkeeping responsibilities.
- 2.6 It does not relate to records created by any other agencies, except where they form part of MRC's official business activities and procedures.

3. Objectives

The policy objectives are to ensure that:

- 3.1 MRC has an efficient and effective electronic document records management system (EDRMS) in place;
- 3.2 Strong records management practice exist that support communication and decision-making;
- 3.3 All staff are aware of and practicing their records management responsibilities;
- 3.4 Staff have access to records that provide information of MRC's decisions;
- 3.5 Legislative and policy requirements are met; and
- 3.6 MRC's records protect the interests of MRC, the rights of customers, clients and residents, and at the same time ensure that privacy and information access needs are protected.

4. Definitions

The following words and corresponding definitions apply specifically to this policy and supporting documents and are provided to support its interpretation and implementation.

BCS	Business Classification Scheme – BCS describes and shows relationships between MRC's functions, activities and transactions. It helps to establish a structure for titling records and makes it easier to find, share and dispose of records.
Digitisation	The process of creating digital files by scanning or otherwise converting analogue materials – See Digitisation Policy.
EDRMS	Electronic Document Records Management System.

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FOI	Freedom of Information – Gives a person the right to apply for access to local government information, and the right to apply to view or correct personal information held by local governments – See Privacy and Freedom of Information Policy.
Framework	Recordkeeping framework is used to contextualise Records Management within a setting and within the broader legislative, regulatory, standards, best practice and community environments.
Naming Convention	Naming conventions is the titling of records through a standardised convention that assists information information that has been captured in the eDRMs that can be located later – See Records Naming Conventions.
PSO	Public Sector Organisation – A public sector organisation is any of the following. This list is not exhaustive: A Government Business Division, a Government owned Corporation, a Local Government Council, the Police Force of the Northern Territory or a Court of the Territory.
Scanning	Is a method for converting hard copy into an electronic format, Using this method supports the transition to eDRMs by reducing or completely eliminating the need for hard-copy records – See Scanning Procedure.
Sentencing	Sentencing is a process of applying the provisions of a records disposal schedule to records, by determining the part of the records disposal schedule that applies to an individual record and assigning a retention period – See Appraising, Sentencing and Disposal of Records Procedure.
Vital Record also Critical Record	Records which MRC could not continue to operate, are irreplaceable or would require significant resources to recreate – See Vital Records Policy.

5. Statement

- 5.1 MRC is committed to good governance and ensuring that complete and accurate records of the business of Council are created, managed and retained 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 a statutory requirement governing their retention and disposal.
- 5.2 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.
- 5.3 MRC adheres to the recordkeeping principles as stated in the NT Government Records Management Standards for Public Sector Organisations in the Northern Territory.
- 5.4 By adhering to these principles, MRC ensures accountability and transparency whilst conducting business on behalf of Council.
- 5.5 The Principles (core requirements) are as follows:
 - 5.5.1 Governance – effective management of records management systems to ensure the records of MacDonnell Regional Council meet requirements of its regulatory environment and community expectations of accountability and transparency:

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- a) Capture – records are adequately captured and stored to protect their authenticity and integrity as a full and accurate representation of the transaction(s) to which they attest, and can be depended on in the course of subsequent transactions Discovery.
 - b) Discovery - Records can be readily located, retrieved, interpreted and preserved for the duration the record.
 - c) Security – information security protects the confidentiality and integrity of records through controls on their access and handling.
 - d) Disposal – records are disposed of in accordance with the Information Act, Records Disposal Schedule for Local Authorities in the Northern Territory # 2018/3 – June 2018 and MRC’s Policy Guidelines.
- 5.6 Council will ensure compliance in accordance with s131A(a) of the *Information Act 2002* by ensuring that:
- 5.6.1 MRC has a records management policy in place that is made known to all staff during induction training, and is promoted and regularly made widely available to all staff.
 - 5.6.2 MRC provides adequate resources (including budgetary requirements) to plan, develop and manage its records management responsibilities and to promote records management procedures throughout the organisation.
 - 5.6.3 Regular training is provided to staff to provide skills to fulfil MRC's records management responsibilities.
 - 5.6.4 MRC ensures that its staff are able to identify a record in the course of conducting their daily business and know they must capture it as a corporate record.
 - 5.6.5 The Chief Executive Officer reports on records management compliance in the annual report in accordance with s131(2) of the *Information Act 2002*.

6. Policy Details

Replaces Policy No: (if applicable)	IR05-CP Records Management Policy v1
Responsible Directorate/Department:	Corporate Services - Information Services
Approval Date:	25 June 2021
Minutes Reference and Resolution number:	OCM Item #15.2 – Resolution OCM2021-098
Review Cycle:	June 2025 - Every four (4) years or after changes to the <i>Information Act 2002</i> or other relevant legislation.

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7. Legislation and References

Related Legislation:	<i>Local Government Act 2019</i>
	<i>Information Act 2002</i>
	Records Management Standards for Public Sector Organisations in the Northern Territory 23 October 2017 v1.1
	<i>Privacy Act 1988 (C'wlth)</i>
Related Policies:	GS03-CP Customer Complaints Policy
	IR03-CP Privacy and Freedom of Information Policy
	IR01-CP Vital Records Policy
	IR02-CP Digitisation Policy
Associated Documents:	IR01-P1 Vital Records Procedure
	IR01-P2 Records Emergency and Disaster Preparedness Procedure
	IR01-P3 Appraising, Sentencing and Disposal of Records Procedure
	IR02-P1 Scanning Procedure
	IR03-P1 Freedom of Information Procedure
	IR05-P1 Correspondence Opening and Distribution Procedure
	IR05-P3 Managing Emails as Records Procedure
	IR05-G2 Records Naming Conventions Procedure
	IR01-F1 Notification of Destruction
	IR01-R1 Records Destroyed Register
	IR03-F1 Application to Access Information Form
	IR03-R1 FOI Requests Register
	IR05-R1 Archive Request Register
IR05-R2 CRM Archive Register	

8. Version Control

Version No.	Approval Date	Policy No.	Minutes reference and Resolution number
1.	30 October 2020	IR05-OP	OCM Item #15.2 – OCM2020-112
2.	25 June 2021	IR05-CP	OCM Item #15.2 – OCM2021-098