

Illawarra Shoalhaven Joint Organisation Policy Manual

Records Management Policy

An abstract graphic design featuring several overlapping, thick, colored lines in shades of orange, blue, green, and purple. The lines intersect and overlap in the lower right quadrant of the page, creating a complex, layered effect. The background is white, and the top of the page has a solid blue header.

1. PURPOSE

Records are a vital asset of the Illawarra Shoalhaven Joint Organisation (the ISJO) in that they:

- support the delivery of services in an efficient, fair and equitable manner
- provide evidence of ISJO actions and decisions and precedents for future decision making
- meet administrative, legal, financial and historical requirements, and
- supports accountability and meets community expectations of ISJO operations

This policy has been developed to ensure the creation, capture and management of business records to support good business practice and to meet recordkeeping requirements.

2. SCOPE

This Policy applies across the ISJO regardless of the physical location of a record, its format or managing business unit.

Definitions:

A record is *information created, received and maintained as evidence and as an asset by an organization or person, in pursuit of legal obligations or in the transaction of business*

AS ISO 15489-1:2017 Information and documentation – Records management Part 1: Concepts and principles Clause 3.14

Ephemeral records are *“records of little value that only need to be kept for a limited or short period of time. Records that are ephemeral have no continuing value to the public office and, generally, are only needed for a few hours or a few days.”*

State Records Regulation 2015 Schedule 2.

3. ROLES AND RESPONSIBILITIES

ISJO Board voting and non-voting members

- The ISJO Board and General Managers Committee members are required to create and maintain records that show the decision-making processes of all meetings where they represent the ISJO on Committees or external bodies or any other occasion when on ISJO business
- These records are to be forwarded periodically to ISJO for capture
- A Board Member in possession of ISJO records must not dispose of, transfer ownership, damage, alter or neglect the records in their possession
- Electioneering (or party-political information) and personal records of a Board Member are not defined as a State record and are exempt

Chief Executive Officer / Executive Officer (CEO/EO)

The CEO/EO ensures that:

- The ISJO complies with the requirements of the State Records Act 1998, and any other act or regulation relating to records management

IF PRINTED THIS MAY NOT BE THE CURRENT VERSION

See shared drive for up-to-date document

Document Owner	Chief Executive	Author: Roger Stephan		Approved by:	Chief Executive
Date:	8/8/2022	Review Date	8/8/2023	Doc ID:	
Version:	1	Amendment notes:			

- Records are protected from unauthorised or unlawful access, destruction, loss deletion or alteration
- Electronic records remain accessible, complete, authentic and useable through the migration of data to new systems and/or by maintaining the necessary software and hardware

Office Coordinator / Administration Officer

The Office Coordinator / Administration Officer ensures the:

- Management of ISJO Records and all associated policies, procedures, standards and controls
- Monitoring records storage areas to ensure security access and suitable environmental conditions are maintained
- Management of ISJO's records throughout their life cycle including disposal
- Monitoring/auditing for compliance with records management standards

ISJO Staff

The ISJO's staff are responsible for:

- ensuring physical records within their area are kept in accordance with recordkeeping storage standards
- ensuring all work processes and systems within their area are integrated with records management
- determining recordkeeping requirements relating to their specific business activities and consult with the Chief Executive Officer to meet standards

Contractors, Consultants and External Service Providers

- All records created whilst performing work on behalf of ISJO belong to ISJO and are defined as State Records under that Act. They are to be captured into ISJO's recordkeeping system by the relevant ISJO staff member overseeing their work

4. BUSINESS CONTINUITY AND DISASTER PLANING

- The ISJO's electronic records are backed up by our technology service provider.

Creation and Capture of Records

- Records are to be captured into ISJO's recordkeeping system in the course of normal business activity and in a timely manner. Hardcopy records are to be scanned and captured electronically.
- Mail delivered by Australia Post and delivered to a ISJO office are to be scanned and registered by the Executive Support Officer.

Classification of Records

- Records registered into ISJO's recordkeeping system will be classified to reflect processes common to ISJO business functions and activities

IF PRINTED THIS MAY NOT BE THE CURRENT VERSION

See shared drive for up-to-date document

Document Owner	Chief Executive	Author: Roger Stephan		Approved by:	Chief Executive
Date:	8/8/2022	Review Date	8/8/2023	Doc ID:	
Version:	1	Amendment notes:			

- Confidential documents or folders are encrypted with password access. The Executive Support Officer maintains a secure register of all confidential documents and access details.

Email, Electronic and Ephemeral Records

- Records that are born electronic may remain electronic when captured into ISJO's recordkeeping system.
- All staff are accountable for registering their emails into ISJO's recordkeeping system.
- The original email must be captured into ISJO's recordkeeping system to ensure capture of original attached metadata.
- It is the responsibility of the sender of internal and outgoing correspondence to capture the record into the recordkeeping system.
- Incoming emails are to be captured by the first listed ISJO recipient.
- Emails must never be printed out to be scanned and captured hardcopy.
- Emails are treated as a record in regard to retention and disposal.
- Ephemeral records mean *"records of little value that only need to be kept for a limited or short period of time. Records that are ephemeral have no continuing value to the public office and, generally, are only needed for a few hours or a few days."* State Records Regulation 2015, Schedule 2
- Ephemeral or facilitative records may be destroyed once reference to them ceases
- Examples include unofficial drafts, rough notes, unsolicited advertising materials, catalogues, magazines etc.

ISJO's Website and Social Media

- Items on ISJO's webpage are to be captured into the recordkeeping system before they are displayed on the webpage.
- When social media is used by ISJO for business purposes, that information is a record under the definitions of the State Records Act 1998.
- As per advice from NSW State Archives and Records this *"does not mean that all social media information must be captured and managed as an official record but it does mean that some high risk and key business value social media information will need to be managed and kept for appropriate periods of time."*

Retention and Disposal

- All records will be appraised by the CEO/EO in accordance with the General Disposal Authority for Local Government as approved by NSW State Archives and Records.
- All records that are to be retained for a period of time are to be stored in a ISJO approved storage facility.
- All records due for destruction are to be destroyed in accordance with NSW State Archives and Records standards and code of best practice.

IF PRINTED THIS MAY NOT BE THE CURRENT VERSION

See shared drive for up-to-date document

Document Owner	Chief Executive	Author: Roger Stephan		Approved by:	Chief Executive
Date:	8/8/2022	Review Date	8/8/2023	Doc ID:	
Version:	1	Amendment notes:			

Security, Access, Storage and State Archives

- Access and use of records will be in accordance with Part 8 of the Model Code of Conduct for Local Councils in NSW
- Records are not to be removed from ISJO unless in the custody of an ISJO staff member in the performance of official duties. The ISJO staff member must take all reasonable steps to ensure that the records in their possession are safely returned to CISJO in due course
- No unauthorised persons are to be given access to ISJO's records storage areas unless escorted at all times by the CEO/EO or an ISJO Manager
- Environmental conditions in each storage area are to be monitored on a regular basis
- All records are to be boxed into approved storage boxes only and include a list of the contents of each box
- Records appraised as State Archives that are not the subject of a Still in Use Determination (records over 25 years since creation that are still required by the ISJO) are to be transferred to the control of NSW State Archives and Records using the guidance and procedures published on the www.records.nsw.gov.au website.
- This may not mean the relocation of a record to a NSW State Archives and Records approved repository unless required by them.

Legislation and Related Documents

- State Records Act 1998
- State Records Regulation 2015
- Local Government Act 1993
- Government Information (Public Access) Act 2009
- Health Records and Information Privacy Act 2002
- Privacy and Personal Information Protection Act 1998
- Evidence Act 1995
- Electronic Transactions Act 2000
- Model Code of Conduct for Local ISJOs in NSW
- Australian Standard AS ISO 15489-1:2017 Information and Documentation – Records Management Part 1: Concepts and Principles (adopted Code)

IF PRINTED THIS MAY NOT BE THE CURRENT VERSION

See shared drive for up-to-date document

Document Owner	Chief Executive	Author: Roger Stephan		Approved by:	Chief Executive
Date:	8/8/2022	Review Date	8/8/2023	Doc ID:	
Version:	1	Amendment notes:			