



RECORDS AND INFORMATION MANAGEMENT POLICY

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Purpose

The purpose of this policy is to ensure that full and accurate records of all activities and decisions of Mosman Council are created, managed and retained or disposed of appropriately, and in accordance with relevant legislation. This will enable Council to achieve information accessibility, business enhancement and improvement. It will also meet its obligations for accountability while ensuring that it protects the rights and interests of the organisation, its staff, clients and the community.

To ensure the capture, creation and maintenance of business records and information with appropriate evidential characteristics within Council, this policy establishes a framework and accountabilities for records and information management and covers all business records and all recordkeeping systems used by Council.

This policy provides a framework and outlines responsibilities for the operation of Council's Records Management Program.

Policy Statement

Mosman Council is committed to meeting its responsibilities under the *State Records Act 1998* (the Act) and relevant standards under this legislation. Council is committed to implementing best practice in its records and information management practices and procedures. The Act requires public offices to "make and keep full and accurate records" of their activities. Records are a corporate asset and:

- form the corporate memory
- support business outcomes
- support informed decision making
- support accountability
- provide evidence of what happened when, where and why

Records and information contribute to:

- better performance of business activities
- improved customer service
- improved risk management

Mosman Council implements an electronic document and records management system (EDRMS) as its compliant management business system.

Definitions

For the purposes of this Policy the following definitions apply:

Act

The State Records Act 1998.

Archives

Those records which are no longer required for current use, but have been selected for permanent retention because of their evidential or informational value.

Compliant

Systems and processes compliant with the records keeping requirements of the *State Records Act 1998*

Council

Mosman Municipal Council being a public office covered by the requirements of the *State Records Act 1998*.

Digital Records

Records communicated and maintained by means of electronic equipment, including those stored on Council's servers, third party servers and in the Cloud.

Disaster Planning

A document that sets out the measures to be taken to minimise the risks and effects of disasters.

Disposal Schedule

A systematic listing of records created by an organisation that plans the life of these records from the time of their creation to their disposal.

Electronic document and records management system (EDRMS)

An automated software application designed to facilitate the creation, management, use, storage and disposal of a range of both physical and digital documents and records.

Legal Documents

Original legal documents including leases, contracts, licences, deeds and certificates of title.

Open Data

Information an organisation holds that is stored digitally should be made freely available to the community.

Record

Something created and kept as evidence of agency or individual functions, activities and transactions. To be considered evidence a record must possess content, structure and context, and be part of a recordkeeping system. A record can be a document (including any written or printed material, email) or object (including sound recording, coded storage device, magnetic tape or disk, microfilm, photograph, film, map, plan or model, painting or other pictorial or graphic work) that is, or has been kept by reason of any information or matter that it contains or can be obtained from it by reason of its connection with any event, person, circumstance or thing.

Records Management Program

A planned, co-ordinated set of policies, procedures, people, systems and activities that are required to manage records in conformity with Section 12 of the *State Records Act 1998*

State Records

"Any records made and kept or received and kept, by any person in the course of the exercise of official functions in a public office, or for any purpose of a public office, or for the use of a public office...." (*State Records Act 1998*).

Vital Records

Those records that are essential for the ongoing business of an agency, and without which the agency could not continue to function effectively.

Scope

Applies to all staff of Council, its contractors and outsourced service providers (including outsourced Cloud agreements) in their conduct of official business for Council. This policy applies to records in all formats, including electronic records.

Governance Framework

1. Legislation, Standards and Guidelines

- *State Records Act 1998*
- *State Records Regulation 2015*
- *Local Government Act 1993*
- *Government Information (Public Access) Act 2009*
- *Privacy and Personal Information Protection Act 1998*
- *Health Records Information Privacy Act 2002*
- *Environmental Planning and Assessment Act 1979*
- *Copyright Act 1968*
- *Work Health and Safety Act 2011*
- *Electronic Transactions Act 2000*
- *Evidence Act 1996*
- *Limitations Act 1969*
- *Public Finance and Audit Act 1983*
- *Standard No. 12 – Standard on records management issued under the State Records Act 1998*
- *Standard No. 13 – Standard on the physical storage of State records issued under the State Records Act 1998*
- *AS ISO 15489.1: 2017 Information and documentation - Records management, Part 1: Concepts and principles*
- *NSW Government Information Management Framework and Open Data Policy 2016*
- *Information Commission Information Access Guideline 7: Open Data and Opening Government Data dated May 2019*
- Other legislation as applicable

2. Related Mosman Council documents:

- Access to Information Policy
- Business Continuity Plan and Governance and IT Services Sub-Plans
- CCTV System Corporate Practice
- Code of Conduct
- Code of Meeting Practice
- Internet and Mobile Computing Corporate Practice
- MOSPLAN
- Records and Information Management Strategy
- Social Media Policy

3. Records Management Program

Section 12 of the *State Records Act 1998* (the Act) requires Council to make and keep full and accurate records of its activities. Council must establish and maintain a Records Management Program in conformity with standards and codes of best practice approved from time to time under the Act. This program is an organisation wide program that covers the full range of the organisation's records and information including but not limited to the following:

- Hardcopy records
- Digital records
- Image records
- Audio records
- E-mail records

- Portable media records
- Internet and web-based records
- Social media records

The elements of Council's Records Management Program are:

- Creation and capture
- Storage
- Maintenance and monitoring
- Disposal
- Transfer
- Access
- Contractors and outsourced functions

The objectives of the Records Management Program are to:

1. Have the records Council needs to support and enhance ongoing business and customer service, meet accountability requirements and community expectations.
2. Ensure these records are managed efficiently and can be easily accessed and used for as long as they are required.
3. Ensure Council complies with all requirements concerning records and records management practices including having information management systems and practices that comply with the Act's requirements and relevant standards under the Act. These standards would include the standard on digital recordkeeping, standard on counter disaster strategies for records and recordkeeping systems, standard on physical storage of state records and standard on the appraisal and disposal of state records.
4. Ensure records are stored as cost-effectively as possible and when no longer required they are disposed of in a timely and efficient manner.
5. Ensure records of longer term value are identified and protected for historical and other research.
6. Ensure digital and other technology dependent records are maintained in an authentic and accessible form for as long as they are required.
7. Maintain a current Business Continuity Plan to ensure that records in all formats and recordkeeping systems and critical data required to reconstitute electronic records are protected. This plan will operate in conjunction with the Information Technology Disaster Recovery Plan.
8. Develop a tactical plan for the overall approach to records and information management that reflects the Council's Community Strategic Plan (MOSPLAN).
9. Develop meaningful performance indicators and collect relevant statistics to support the performance indicators for the program.
10. Monitor records management activities through regular audits to evaluate performance and compliance.

Council maintains a Records and Information Management Strategy to support its Records Management Program.

4. Requirements of the State Records Act 1998

For Chief Executives

Chief executives to ensure compliance with the Act

- The chief executive of each public office has a duty to ensure that the public office complies with the requirements of this Act and the regulations and that the requirements of this Act and the regulations with respect to State records that the public office is responsible for are complied with (Section 10).

For Public Offices

Obligation to protect records

- Each public office must ensure the safe custody and proper preservation of the State records that it has control of. (Section 11(1))

Full and accurate records

- Each public office must make and keep full and accurate records of the activities of the office. (Section 12(1))

Records management program

- Each public office must establish and maintain a records management program for the public office in conformity with standards and codes of best practice from time to time approved under section 13. (Section 12(2)) (See the Standards page for details of Standards and Codes of best practice approved by NSW State Archives and Records).

Monitoring and reporting

- Each public office must make arrangements with the Authority for the monitoring by the Authority of the public office's records management program and must report to the Authority, in accordance with arrangements made with the Authority, on the implementation of the public office's records management program. (Section 12(4))

Equipment/technology dependent records

- If a record is in such a form that information can only be produced or made available from it by means of the use of particular equipment or information technology (such as computer software), the public office responsible for the record must take such action as may be necessary to ensure that the information remains able to be produced or made available. (Section 14(1))

Disposal of records

- Public offices may not dispose of State records, transfer their possession or ownership, take or send them out of New South Wales, or alter them, without the approval of NSW State Archives and Records. (Section 21)

Management of State archives

- Public office records that are required to be kept as part of the State archives must be properly protected while they remain in the public office's custody. As reiterated in Premier's Circular 2003-17, public offices should contact NSW State Archives and Records to discuss transfer or other options for their permanent preservation when they are no longer required for current business needs. (Part 4)

Public access to State records after 30 years

- Each public office must ensure that the State records for which it is responsible and that are over thirty years old are the subject of an access direction. An access direction either opens or closes the records to public access. (Part 6)

Records management standards

- Standards approved under section 13(1) are:
 - Standard on the physical storage of State records (2019)
 - Standard on records management (2015, amended 2018)
- Codes of best practice approved under section 13(1) are:
 - AS ISO 15489.1: 2017 Information and documentation - Records management, Part 1: Concepts and principles

5. Requirements of Records Management Standards

Standard No. 12 – Standard on records management

Standard No. 12 sets out three principles for effective records and information management:

1. Organisations take responsibility for records and information management
2. Records and information management support business
3. Records and information are well managed

It also identifies the minimum compliance requirements that apply to each principle. Each minimum compliance requirement is accompanied by a range of examples of how a public office can demonstrate compliance with the requirement. These examples can provide 'evidence' of meeting the requirement but may not be the only way that compliance can be demonstrated.

Standard No. 13 – Standard on the physical storage of State records

Standard No. 13 sets out six principles for managing the storage of semi-active State records:

1. Records are stored in appropriate storage areas and facilities and located away from known and unacceptable risk.
2. Records are stored in environmental conditions appropriate to their format and retention period.
3. Shelving, equipment and containers used for storing records are secure, accessible and protected from deterioration
4. A regular maintenance and monitoring program for records storage areas has been implemented.
5. Records are controlled in a system so that they can be identified, located and retrieved.
6. Records are protected against theft, misuse, unauthorised access or modification

Semi-active records are those records required infrequently in the conduct of current business and stored in a secondary storage area or facility. Under each principle there is a brief explanation of the principle, and identified compliance requirements.

AS ISO 15489.1: 2017 Information and documentation - Records management, Part 1: Concepts and principles

AS ISO 15489.1: 2017 Information and documentation is a code of best practice or industry standards which codifies and describes best practice, and is a benchmark for measuring processes, practices and systems. It underpins and supports mandatory requirements in standards issued by NSW State Archives and Records. It provides further information about

processes, practices or systems and assists Council in understanding and implementing requirements contained in the standards.

This Australian standard is a concise, contemporary representation of recordkeeping practice, with an emphasis on the digital environment. It defines the concepts and principles to be used in developing approaches to the creation, capture and management of records to meet compliance, business and societal requirements. It applies to all records, regardless of format, business or technological environment. The Australian standard is 'digital-ready' and can be used to guide flexible approaches to implementing records management tools and techniques in dynamically and technologically changing environments. It also represents national and international best practice.

6. MOSPLAN

Mosman Council operates within an Integrated Planning and Reporting Framework established by the State Government. This framework requires preparation and adoption of a Community Strategic Plan, a Resourcing Strategy, a Delivery Program and an Operational Plan, (collectively known as MOSPLAN) to assist Council in its ongoing delivery of services to residents and ratepayers.

Council's records and information management program is supported by this policy and a Records and Information Management Strategy which aligns with strategies in MOSPLAN particularly Strategic Direction 4 – An Informed and Engaged Community and Strategic Direction 5 – A Business-Friendly Community with Sound, Independent Civic Leadership.

Strategic Direction 4 includes the following Strategies related to records and information management:

- Deliver community information that is accurate and readily available
- Ensure the community knows how and why decisions are made

Strategic Direction 5 includes the following Strategy related to records and information management:

- Council delivers high quality, convenient service to customers

Responsibilities

All stakeholders covered by the scope of this policy are responsible for managing paper and electronic records in accordance with Council's policies and procedures. Staff members receive training in how to use the records management software and each Council business unit is responsible for creating and maintaining physical and electronic files documenting the business of the unit. Managers of each program area are responsible for ensuring that their staff are aware of this policy and that their staff are actively meeting the requirements of this policy.

All record management activities, including file creation, maintenance, storage, destruction and archiving, are undertaken by the Information Management Team.

The Information Management section within the Corporate Services Department is responsible for providing a corporate records and information management service in conjunction with Council's EDRMS.

Specific responsibilities follow:

1. General Manager

The General Manager has a duty to ensure that Mosman Council complies with the requirements of the Act and Regulation and the standards issued under the Act by the State Records Authority.

2. Director Corporate Services

The Director Corporate Services functions as Council's Corporate Records Manager (CRM) for the purposes of the Records Management Program. The Corporate Records Manager is accountable to Council for the management of the program as well as ensuring Council's compliance with the Act and standards. The Corporate Records Manager is responsible for making and administering arrangements for the monitoring of the program by State Records in that role, as required by s.12(3) of the Act.

3. Manager Governance

The Manager Governance reports directly to the Director Corporate Services and is responsible for the implementation and efficient operation of Council's Records Management Program and the provision of services to users.

The Manager Governance has the authority to develop standards for information management across Mosman Council; to define the rules and requirements associated with records and information management operations and record keeping systems, and in conjunction with the Team Leader Information Management to monitor compliance of corporate information and record keeping practices.

The Manager Governance is responsible for the maintenance and review of this policy.

4. Manager IT Services

The Manager IT Services reports directly to the Director Corporate Services and is responsible for ensuring that all Business Units consult with IT Services prior to considering purchase of a new IT system. The Manager IT Services may liaise with the Team Leader Information Management in this regard. The Manager IT Services must among other things determine if any new proposed system complies with the record keeping requirements of the Act.

5. Team Leader Information Management

The Team Leader Information Management is responsible for the daily management of the Information Management section staff and monitoring compliance of corporate information and record keeping practices. The Team Leader is also responsible for providing public access to information in accordance with the *Government Information (Public Access) Act 2009 (the GIPA Act)*. The Team Leader will also liaise with the Manager IT Services in assessing all proposed new IT systems for compliance with the record keeping requirements of the Act. These responsibilities are supported by the Director Corporate Services and Manager Governance.

6. Directors

Each Director is responsible for ensuring that members of staff who have access to confidential information are instructed regarding their rights and obligations when dealing with such matters.

7. Managers

Each Manager is responsible for ensuring that staff members respond to correspondence and action tasks in a timely manner and recording this information into the EDRMS in

accordance with protocols determined by the Manager Governance. Audits will be undertaken in accordance with relevant risk assessments.

8. Information Management Section

Information Management Officers are responsible to the Team Leader Information Management for the efficient and accurate registration of business records and information into the EDRMS. They are also responsible for providing a records and information management service to internal customers.

9. All Staff

All staff members are accountable to their supervisors for compliance with this policy and with related policies, standards and guidelines.

All staff members are responsible as an employee of Mosman Council for capturing and creating business records and registering them into the EDRMS. These records will include:

- decisions
- oral decisions and commitments, including telephone discussions
- meetings
- other events
- business activities in which they take part

All staff members shall:

1. Capture information by ensuring accurate registration into ECM in accordance with protocols outlined by the Manager Governance.
2. Handle records and information sensibly and with care and respect so as to avoid damage to the records and prolong their life (Hardcopy records in particular).
3. Not alienate, relinquish control over, damage, alter or destroy records of Council without authorisation from the Manager Governance.
4. Access only the official records that they are authorised to access from within the the EDRMS.
5. Register information into the the EDRMS system in accordance with protocols outlined by the Manager Governance.
6. Identify vital records in consultation with the Team Leader Information Management and report to the CRM.
7. Complete all records management e-learning training and assessment modules.

The *Local Government Act 1993* specifically addresses the issue of mishandling of Council records by staff.

Any staff member proposing to utilise a new IT system must consult with the Manager IT Services to determine amongst other things if any new proposed system complies with the record keeping requirements of the *Act*.

10. Contractors and outsourced functions

All records created by contractors performing work on behalf of Council belong to Council and are State records under the *Act*. This includes the records of contract staff working on the premises as well as external service providers.

Contracts clearly state that ownership of records resides with Council and relay instructions regarding creation, management, and access to the records created. Council's Corporate Records Manager (Director Corporate Services) should be consulted during the formulation of the contract.

Contractors must manage records that they create on behalf of Council according to the terms of their contract. Access to records held by the contractor such as performance of services, information collected from members of the public or information provided to the contractor by Council may be subject to access applications under the *Government Information (Public Access) Act 2009*. Council discloses this requirement in the relevant request for tender or quotation specification.

11. Outsourced Cloud service providers

Service providers which have an outsourced agreement with Council to provide Cloud data hosting services are required to demonstrate that the appropriate data governance is in place including access and security.

Data is stored and retained until such time as Council requests deletion or is deleted in accordance with retention rules agreed with the service provider.

Managing Records and Information

1. Records and Information Management Strategy

Council maintains a Records Management and Information Strategy which is a documented tactical plan for the overall approach to records management to support its Records Management Program.

The Records and Information Management Strategy ensures that:

- information assets are managed responsibly and in accordance with best practice
- accurate, reliable and relevant information can be provided to Council's business and clients
- Council's investment in its information assets is not wasted including reuse and repackaging of information to enhance business opportunities and stimulate innovation
- records and information are more accessible and useable and available for those with appropriate authority
- costs are reduced as Council does not retain records and information unnecessarily
- Council's activities are transparent and accountable
- Council is compliant with legislative and audit requirements

The Strategy is reviewed regularly as the governance framework changes, it progresses through business improvement cycles, and adopts new technologies. Strategies will generally include:

- integrating records and information management into work processes, systems and services
- implementing records and information management to ensure that it is accountable and meets business needs
- integrating new technologies and business improvement processes into business systems to create efficiencies, productivity and value
- managing email
- managing risk assessments and use of cloud or similar service arrangements
- managing the use of removable storage
- managing and maintaining the corporate records management system or EDRMS
- integrating records and information management into business systems and managing and preserving records and information of long term value in these systems

- managing records and information held in social media applications
- managing records and information used with mobile devices or BYO devices

The Strategy builds on and details the high-level policy positions taken under this policy, in relation Council's Records Management Program including the other components detailed under this section.

2. Audit of Records Management

The regular monitoring of records, recordkeeping, and records and information management is beneficial in that it ensures that records are managed according to best practice, and in efficient and effective ways that meet the business needs of the organisation and the statutory requirements.

Council's Records Management Strategy incorporates a plan for internal review / audit of its records management requirements, practices and systems. The plan incorporates the following resources and tools provided by the State Archives and Records Authority of NSW:

- *Records Management Assessment Tool*
- *Business Systems Assessment Checklist for Recordkeeping*
- *Guidelines for implementation of compliance monitoring and performance monitoring*
- *Implementation Guide for the Standard on Records Management*

These resources assist Council in assessing:

- conformity with requirements of the Act and standards issued under the Act
- the capacity of Council in achieving best practice records management

The tools measure compliance for Council as well as additional performance criteria, which will help determine whether Council is performing above the minimum requirements at a higher level of maturity, capability and capacity.

The plan provides for auditing of compliance and performance with Council's records management protocols, business rules and registration standards. Associated reporting on performance and compliance is available for management review.

These measures and assessments may be conducted at the business unit level in order to identify any pockets within the organisation that are having compliance and/or performance issues.

Council cooperates and liaises with the State Archives and Records Authority of NSW in relation to monitoring compliance.

3. Business Continuity Plan

Council has developed and maintains a Business Continuity Plan (BCP) and Departmental BCP Sub-Plans in order to provide a strong platform to assist Council resume operations in the event of a significant disruption. The Governance and IT Services business units both have Sub-Plans which address records and information management continuity including:

- Key business functions, business function criticality and maximum acceptable outages (MAO)
- Key staff and stakeholders
- Minimum resource requirements and critical dependencies to meet MAO including staff, hardware and critical business systems/software
- Manual work-around or alternate work processes and alternate locations or remote working possibilities
- Key external contacts

4. Business Improvement

In order to achieve efficiencies, productivity and value from the management of Council's information assets, business improvement projects are implemented as part of the Records and Information Management Strategy.

5. Digital Records

5.1 CCTV records

Council's CCTV system currently comprises a number of predominantly analogue cameras connected to DVRs at 13 locations including operational buildings, sporting pavilions, amenities blocks and other community facilities

Footage captured by cameras is recorded and stored locally on the DVRs at each location. Retention of stored footage depends on the capacity of the DVR and the number and quality of cameras but typically ranges from two to four weeks before the oldest footage is overwritten with new footage. The DVRs are housed in secured locations and access to stored footage is password protected and restricted to authorised Council staff and security contractors in accordance with Council's adopted CCTV System Corporate Practice.

The DVRs located within the Civic Centre, Art Gallery and Community Centre, Allan Border Oval Pavilion, Marie Bashir Sports Centre and Drill Hall are connected to Council's internal network to enable access and viewing via remote client software which is installed on the PCs of two of the authorised officers in Council. CCTV related enquiries may be either an internal Council enquiry or from NSW Police (North Shore Police Area Command) and require a completed CCTV Request form in accordance with the adopted Corporate Practice.

Any footage deemed relevant to an enquiry may be downloaded from the DVR and the digital video files saved onto a USB flash drive and released to the Police or stored on a secured network drive for internal enquiries. Files stored on the internal secured network drive are periodically reviewed and deleted if no longer required.

5.2 Documents (Scanned Hardcopy Records)

The Information Management section undertakes the scanning of all incoming correspondence. These images are captured within the EDRMS with appropriate metadata stored with each record. Many other business units also undertake the scanning of hardcopy records to meet their business requirements.

Council has an obligation to ensure that all digital records are accessible over time and are kept for as long as required in accordance with approved disposal authorities.

The original of scanned images can be destroyed under certain circumstances and must be done in accordance with approved disposal authorities. Where originals have been destroyed, the digital copy must be retained for the full retention period as required under the relevant disposal authority.

Council disposes of the original of incoming correspondence scanned daily and then stored in a 'day box' in accordance with the disposal policy detailed under section 6.10.

Original records that cannot be destroyed even when digitised include:

- Records that are subject to a Government policy or directive not to be destroyed
- Records that are considered to have intrinsic value eg. original artworks
- Original proclamations, testimonials and intergovernmental agreements or treaties

Records that are subject to pending or current legal proceedings or an application for access under legislation such as *Government Information (Public Access) Act 2009* should be considered for exclusion from destruction based on a risk assessment of the records that fall into this category.

Records Management staff will follow guidelines issued under the General Retention and Disposal Authority – imaged records (GA36) in relation to quality control measures for scanned documents and in determining which original records will be destroyed.

Consultation will take place with the relevant section to determine individual needs of the section as they arise in determining which hardcopy records can be destroyed once they have been scanned.

5.3 Emails

Emails are sent and received from a number of corporate, group, team, special purpose and individual staff email accounts. Registering and actioning emails both sent and received is a corporate responsibility dependent upon the account used. Responsibilities for ensuring capture are set out in Council's Document Management Rules and records registration protocols detailed in the Records and Information Management Strategy.

5.4 Internet and web-based records

Internet and web-based records include information posted to Council's website and ancillary sites and apps, together with information collected by Council through online forms and facilities accessible through those systems.

Council's internet and web-based records are hosted by a service provider. The records generated via these web-based systems are collected and stored on the service provider's server and then integrated into Council's EDRMS.

Data is stored and retained until such time as Council requests deletion or is deleted in accordance with retention rules agreed with the service provider.

5.5 Social media records

Council recognises social media and social networking sites are an increasingly common tool to engage in conversations with individuals and the community.

Council maintains a social media presence including special interest accounts related to the library, environment and open space. Social media records include any posts Council may make and may include posts from other users directed at Council.

Social media records are managed in accordance with Council's Social Media Policy. Social media is not used nor recognised by Council as a formal communication channel. However, unsolicited enquiries or requests for services are sometimes received by Council and these may be either directed to the appropriate channel for action and response or, if the matter is urgent, resolved directly.

Where the social media record is referred to the appropriate channel, the officer dealing with it will ensure the business transaction is captured in a compliant record keeping system. Where business records are created by responding to a social media request directly, whether that be by way of social media posting, email, phone call, mail or meeting, a record of the business transacted will be migrated or created in a compliant record keeping system. Otherwise, social media records are not migrated to other systems.

Council staff monitoring the accounts will determine when items of significance to the business of Council arise and will email to or otherwise notify any relevant Council staff to be actioned as necessary and migrated to Council's compliant systems.

5.6 Telephony records

Council utilises a service provider solution for its telephony needs. Telephony records (data and metadata) from utilisation of the system is generated from ingoing and outgoing telephone calls and voicemails. This data is stored in the Cloud hosted by the service provider.

Data is stored and retained until such time as Council requests deletion or is deleted in accordance with retention rules agreed with the service provider.

5.7 Webcasting records

Council live webcasts the proceedings of its open Council meetings and provides access to a copy of meeting webcasts for the term of the Council as an archival service for the public in accordance with Council's Code of Meeting Practice.

The webcast and archival service is hosted by a service provider under agreement with Council and whilst live and archived webcasts are accessible from Council's website, the records are hosted by the service provider in the Cloud. Data is stored and retained until such time as Council requests deletion or is deleted in accordance with retention rules agreed with the services provider.

6. Document Management Rules

All staff are to use the EDRMS to record all substantive official business. Staff are not to maintain individual or separate files or recordkeeping systems or unmanaged electronic repositories for Council records except as otherwise authorised by the Corporate Records Manager and registered with the Team Leader Information Management.

All incoming correspondence and information that require an action or represents Council business will be registered and tasked in the EDRMS in accordance with protocols determined by the Manager Governance.

The Information Management section is responsible for registration of Council business records and information received in accordance with the approved Records Registration Protocols in place. These protocols are reviewed from time to time having regard to a range of issues including new technologies and systems, business improvements, changing services, business unit needs and changes in the governance framework

Current document management rules and records registration protocols are contained within the Records and Information Management Strategy.

All formal documents generated within Council, including outwards correspondence, should be immediately registered by staff generating that correspondence in the EDRMS in accordance with the approved Records Registration Protocols with a notation on action taken in relation to the document. Information Management section staff do not register outgoing correspondence.

Staff members who receive Council business related e-mails to their own accounts are responsible for registering those e-mails into the EDRMS. Business units using group emails must enable such account to both send and receive emails and be responsible for capturing all business related transaction in the EDRMS or as otherwise agreed and provided for from time to time in Council's Document Management Rules and records registration protocols detailed in the Records and Information Management Strategy.

Business related information that is not in the form of a record, including details of telephone discussions, meeting discussions, inspection results and observations and that are relevant to the business being transacted, must be documented and registered in the EDRMS or other compliant record keeping system approved by the Manager Governance.

When conducting community consultation / exhibition campaigns / external surveys related to Council business, staff will use the platforms and services available under the Records and Information Management Strategy in order to create efficiencies in meeting record keeping requirements.

7. Open Data Strategy

Open data enables government to be transparent, collaborative and innovative. Open data (shared information) can benefit Council and the community in four ways:

- Improving government
- Empowering citizens
- Creating opportunity
- Solving problems

The tangible benefits of open data to Council's administration, business innovation, public participation, research and democratic processes means that data must be treated as an asset and not a threat.

Council will progress the implementation of an Open Data strategy which is a Council initiative to make all publically available information freely available to the community by means of an electronic community portal.

Council's Open Data Strategy is set out in its Records and Information Management Strategy and has regard to the NSW Government's *Information Management Framework* and *Open Data Policy* together with the Information Commissioner's *Information Access Guideline 7: Open Data*.

The strategy aligns with Council's obligations under the *Government Information (Public Access) Act 2009* (GIPA Act) to promote open government, including through proactive disclosure practices being a central element of two of the four GIPA Act information pathways – mandatory proactive release (s 6) and authorised proactive release of government information (s 7).

The strategy, particularly in an increasingly digital environment, promotes open government to the community through openness and responsible stewardship of information.

8. Records Management Software Systems

Council uses an EDRMS for the management of records and documents (including electronic documents). The EDRMS utilised by Council at any time is specified in Council's Records and Information Management Strategy.

The EDRMS manages unstructured records and information and can also automate business processes such as workflows and approvals and be integrated with other business systems. It combines document management and records management functionality. The document management functionality of the EDRMS, based on business rules and classification, allows access to and use of documents to meet short term needs. The records management functionality allows records to be protected and managed as authentic evidence of business to meet Council's statutory and other responsibilities, and can assist in meeting longer term needs for information.

Other information systems are used to capture and store records and information. These systems are mostly supplied by service providers, details of which are maintained within Council's Records and Information Management Strategy. Systems are either web-based or hosted in the Cloud or on Council's servers.

Council may from time to time implement new systems including the EDRMS. Online subscription of services and applications have the ability to provide functionality such as:

- Desktop, web and mobile applications for word processing, spreadsheet, and presentations
- Email and calendaring
- Hosted services
- Collaboration platforms and tools
- File storage and sharing services
- Security and compliance tools
- Business analytics tools

Council will consider its recordkeeping requirements and the features and functionality of such systems when making decisions on how it will be configured and used and will document any of the systems configuration settings or policies implemented.

In order to manage records created in such an environment, Council will assess the functionalities available and decide whether to:

- implement third-party software or APIs to extend the features and functionality of available security and compliance tools
- integrate the system with a separate EDRMS

Council will utilise the checklist for assessing business systems resource provided by NSW State Archives and Records.

When purchasing or implementing new systems, an assessment must be undertaken to identify the types of records that will be created or stored within that system and consultation must take place with the Team Leader Information Management to determine the appropriate management of those records.

When systems are decommissioned, the process must include assessment of the retention and disposal requirements for records and information held in that system.

9. Training Plan

The appropriate training of staff and other stakeholders is an inherent component of the Records Management Program. Council has identified training needs and developed a training plan to assist in compliance with the Act's requirements.

The Training Plan comprises:

- a mandatory e-Learning module for all staff in recordkeeping principles
- this Policy
- Council's record management business system / EDRMS

The module utilises in-house and supplier content, and material from the State Records' Training Resource Centre together with current EDRMS User Guides. An assessment is conducted as part of the module, requiring an 80% pass for completion.

A function of the Information Management Team is to offer and facilitate training, advice and guidance to all staff, over and above the e-Learning module.

Contractors are advised of record keeping requirements in the relevant tender or quotation specification. Contractors are encouraged to contact Council for advice on these requirements if they are not clear.

The Training Plan will be modified as necessary to cater for changes in the EDRMS and other business systems implemented by Council.

10. Vital Records

Vital records include records needed to:

- Operate the Council during a disaster
- Re-establish the Council's functions after a disaster
- Establish and protect the rights and interests of the Council, its employees, customers and stakeholders
- Establish and protect the rights and interests of the organization and its clients
- Reinstate business operations during or following a disaster
- Continue to communicate with, and service the needs of, staff following a disaster

Vital records are those records that are essential for the ongoing business of the Council, and without which the Council could not continue to function effectively. The identification and protection of such records is a primary object of records management, risk management and disaster management planning.

Managing vital records involves:

- Identifying and documenting vital records
- Finding measures to protect them
- Ensuring there are priorities for salvage in a disaster

Such records may be considered vital only in the short term, or may retain this status indefinitely. These records include original signed copies of agreements, contracts, leases and licenses, title deeds, official signed copies of Minutes of meetings of Council, financial and rating records, personnel records, policy records, and other records of continuing value to the Council or the community.

Recovery and access to vital records (regardless of format) is an essential business component for any organisation. Protection, recovery and access to vital records is reliant on:

- Identification – once identified, incorporate into a Vital Records Register
- Duplication – copies are essential so that the copy may be used for day to day business / reference purposes and the original is protected and safeguarded
- Backup – daily backup of systems where possible
- Removal – remove vital records from the site to a place where they can be safely stored and retrieved when required

Vital records in hard copy are stored in a locked, fire resistant safe, accessible to the Manager Governance, Team Leader Information Management and Information Management staff. These records have been copied and registered in the EDRMS for use in association with all normal business activities.

All staff are responsible for identifying and managing vital records in consultation with Team Leader Information Management and reporting to the Corporate Records Manager.

Council has established a Vital Records Register identifying the categories of vital records essential for the ongoing business of Council. The Register is contained within the Records and Information Management Strategy.

11. Hardcopy files

Various hard-copy records are maintained by Council. These include files created prior to the introduction of the EDRMSS on 1 October 1998, files related to development applications

and legal files. The tactical plan for the overall approach to records and information management under the Records Management Program will develop procedures for the ongoing management of hardcopy files including:

- completeness
- accuracy
- currency
- barcode tracking
- an archives project plan for the appraisal and sentencing of hardcopy documents and files

12. Contracts and Legal Documents

All original contracts or legal documents must, as soon as practicable after signing, be sent to the Team Leader Information Management where:

- the document is scanned
- the image is registered in the EDRMS
- the original document is placed on the relevant Legal File and stored in the legal file archive in Corporate Services and cross-referenced to the EDRMS document

13. Location and Movement of Records

The current location of digital corporate records and information is controlled through the EDRMS.

The EDRMS has sophisticated security and classification protocols to ensure that confidential and classified records and information cannot be accessed by unauthorised persons.

Records required by courts or solicitors, must be recorded and issued according to the approved protocol to ensure the information is not lost to Council.

Council Officers who are required to attend court on behalf of Council and need to produce records (photocopies preferred if acceptable) and information require the consent of the Director Corporate Services before removing records or information from Council.

Hard-copy records prior to the introduction of the EDRMS and Legal Files are controlled through a computerised file tracking system and are held either on-site within the the records storage area or off-site at Council records repository and retrieval service provider. The location of every file must be accurate and up to date in the EDRMS at all times. Council Officers moving or transferring files must inform the Team Leader Information Management so the tracking system can be kept up to date.

14. Storage and Security of Records

Under the Act all physical records must be appropriately stored to ensure that:

- Records are protected, secure and accessible for as long as they are required to meet business accountability needs and community expectations
- Records of continuing value which will be transferred to State Records control and/or custody as State archives are stored in the best conditions possible
- Records are stored in the most cost-effective manner possible
- Legal documents (including leases, contracts, deeds, certificates of title and licences are to be scanned and registered into the EDRMS. The originals should be kept on the relevant Legal file that is stored in the strong room (safe)
- Unauthorised alteration, removal, distribution or destruction of Council records is prohibited
- All electronic records must be backed up systematically at appropriate intervals

- The management of storage facilities on-site and off-site is the responsibility of the Manager Governance

Council's Minute Books, rate books, registers and the like which exceed the age threshold are transferred to State Archives.

15. Archiving, Disposal and Destruction of Records

Archival appraisal and disposal of records has central place in the records management program for public offices. It is important to make sound decisions about how long to retain records and when to dispose of them. A structured appraisal and destruction project plan is the best bench mark.

Local government business records are governed by a specific disposal authority that has been approved under the Act (GA39).

No business records should be destroyed without the approval of the Manager Governance.

A list of records destroyed is to be retained in the EDRMS.

15.1 Disposal of Digitised Records

When records have been digitised, the original record must be kept for an agreed time period for quality control purposes. This will depend on the type of record and will be agreed upon in conjunction with the section responsible for a particular record class.

Where routine scanning is undertaken by various sections, the original documents may be disposed of by those sections, however discussion must be held with the Team Leader Information Management prior to this occurring and all scanning and disposal must be undertaken in accordance with this policy and related guidelines.

Digital records that have been created by way of scanning must be kept for as long as the original paper copy would have been kept for, in accordance with the relevant approved disposal authorities.

15.2 Disposal of Physical Records

Disposal of hardcopy records or files is not to be undertaken without approval (with the exception of those records identified above) and is the responsibility of the Team Leader Information Management. Records that meet the provisions of normal administrative practice as provided under the *State Records Regulation 2015* may be considered for destruction; however staff must obtain advice from the Team Leader Information Management prior to this destruction occurring.

All destruction undertaken by the Information Management Section will be done in accordance with approval disposal authorities. Records may be kept for longer if required for administrative, fiscal, legal or historical reasons. Documents held by Council's records repository and retrieval service provider may be disposed of within the service provider's premises upon instruction by Council.

All records due for destruction will be documented on the approved Records Disposal Authorisation Form and approval will be obtained by the relevant Manager where necessary prior to any destruction taking place.

15.3 Disposal of 'Day Boxes'

Council scans and registers incoming correspondence in the EDRMS daily then stores the original documents in a 'day box'. Day boxes are retained for a period of

six months for quality control purposes consistent with GA36 for Image Records. Day boxes are securely disposed of after six month consistent with GA39.

Day boxes are retained and disposed in accordance with the protocol for retention and disposal of day boxes. Day boxes held in archive prior to the implementation of this policy are retrieved, sample audited for quality control and authorised for destruction in accordance with the protocol for retention and disposal of day boxes.

Access to Council Records and Information

1. The Director Corporate Services as Public Officer and Corporate Records Manager is deemed responsible for the keeping of full and accurate records, compliance with NSW State recordkeeping standards and internal practices.
2. The public will not be permitted access to the Information Management section, store rooms or staff work areas.
3. The Ombudsman Act provides for access to Council's records associated with an investigation by the Ombudsman in relation to a complaint against the Council.

These requests shall be referred to the Director Corporate Services for consideration on receipt and registration.

4. No record of Mosman Council is to be removed or temporarily removed by any Councillor or Staff member without having first obtained the consent of the General Manager or Director Corporate Services. The exceptions are those records required for on-site inspections or those required in the normal course of duty and the Information Management section has been advised accordingly.
5. The Manager Governance is to be notified whenever any physical records or information need to be sent outside the organisation, i.e. to Council's solicitors.

The Open Data Strategy described above and detailed in the Records and Information Management Strategy also has implications for Council's approach to access to Council records and information.

Review

This policy will be reviewed every four years unless otherwise directed by Council or the Executive Team.

Contact

Enquiries should be directed to the Manager Governance on 9978 4010 or council@mosman.nsw.gov.au

Amendments

Date	Amendment	Reference
2 July 2002	Adopted	PF/137
6 March 2012	Amended to accord with Action Plan for implementation of recommendation of Internal Audit report on records management.	CS/10
3 December 2013	Amendment to contemporise and further accord with Action Plan for implementation of recommendation of Internal Audit report on records management.	CS/75
4 February 2020	Amendments to finalise recommendations of 2017 Internal Audit report on records management.	CS/5