



Policy No. 2015- 37

Records Management Policy

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1 DEFINITIONS

Access

Right, opportunity, means of finding, using, or retrieving information

Accountability

Principle - that individuals, organisations, and the community are responsible for their actions and may be required to explain them to others

Action tracking

Process in which time limits for actions are monitored and imposed upon those conducting the business.

Archival authority

Agency or programme responsible for selecting, acquiring and preserving archives, making them available, and approving destruction of other records

Classification

Systematic identification and arrangement of business activities and/or records into categories according to logically structure conventions, methods, and procedural rules represented in a classification system.

Conversion

Process of changing records from one medium to another or from one format to another.

Destruction

Process of eliminating or deleting records, beyond any possible reconstruction.

Disposition

Range of processes associated with implementing records retention, destruction or transfer decisions which are document in disposition or other instruments

Indexing

Process of establishing access points to facilitate retrieval of records and/or information.

Metadata

Data describing context, content and structure of records and their management through time.

Migration

Act of moving records from one system to another, while maintaining the records' authenticity, integrity, reliability and useability.

Preservation

Processes and operations involved in ensuring the technical and intellectual survival of authentic records through time.

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Records

Information created, received, and maintained as evidence and information by an organisation or person, in pursuance of legal obligations or in the transaction of business.

Records Management

Field of management responsible for the efficient and systematic control of the creation, receipt, maintenance, use and disposition of records, including processes for capturing and maintaining evidence of information about business activities and transactions in the form of records.

Records Systems

Information system which captures, manages and provides access to records through time.

Registration

Act of giving a record a unique identified on its entry into a system

Tracking

Creating, capturing and maintaining information about the movement and use of records

Transfer

Change of custody, ownership and/or responsibility for records. Moving records from one location to another.

Permanent Records

Are those that will be transferred to the Tasmanian Archive and Heritage Office to be retained as State Archives.

Temporary Records

Are those that can be destroyed under the authority of the Schedule (Disposal Schedule for functional records of Local Government DA No 2200 amended 10/06/2014) after a minimum retention period, or once certain requirements have been met.

Ephemeral Records

Documents that have no lasting value to the organisation. They include (but are not limited to) copies of documents, company brochures, drafts, or information produced by other businesses (price lists). Messages may also be considered ephemeral, and may not need to be recorded into Council's record system.

Preservation of Records

Section 10 (1) (a) of the *Archives Act 1983* requires agencies to preserve records until they are dealt with under the Act. This places a statutory obligation on agencies to ensure that all records, regardless of format, remain accessible while they are in the custody of the agency.

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2 INTRODUCTION

The Central Highlands Council's Records Management Policy has been produced to provide a practical guide for staff involved in the creation, management and/or use of corporate records. This includes all staff engaged in activities directly associated with the business of the Central Highlands Council regardless of whether they are permanent employees or employed through a contract arrangement.

The information resources of an organisation, particularly corporate information, are one of its most valuable assets. Proper information management provides the level of transparency and accountability demanded by its key stakeholders.

Reference should also be made to 2015-01 Records Management Procedures.

2.1 PURPOSE OF THE MANUAL

The purpose of this manual is to describe:

- the responsibilities of all staff in relation to records management activities;
- the statutory requirements governing records management practices;
- policy statements enabling the Central Highlands Council to comply with statutory requirements; and
- procedures to be followed in fulfilment of each policy.

2.2 LEGISLATIVE FRAMEWORK

There are various legislative requirements for managing government records in Tasmania. The primary legislation relating to the keeping of public records is the *Archives Act 1983*, which compels each state and local government agency to have in place a comprehensive record keeping framework that covers the management of records from their inception through to their final archiving or destruction.

Under the *Archives Act 1983* s3, a *government record* is defined as

“means a document, or an object, in any form (including any electronic form) that is, or has been, kept by reason of”:

- (a) any information or matter that it contains or that can be obtained from it; or
- (b) its connection with any event, person, circumstance or thing.

It is the responsibility of all employees and contractors to ensure that they create and maintain government records in accordance with the Central Highlands Council Record Policy. Failure to comply with this requirement is deemed to be an offence and could attract a penalty.

Some other examples of legislation that impacts upon records management include:

- *Criminal Code 1914*

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- *Electronic Transactions Act 2000 (Tas)*
- *Evidence Act 2001 (Tas)*
- *Audit Act 2008*
- *Right to Information Act 2009 (Tas)*
- *Limitation Act 1974 (Tas)*

2.3 ROLES AND RESPONSIBILITIES

2.3.1 Elected Members

All elected members are to create and maintain records relating to their role as a Councillor of the Central Highlands Council in a manner commensurate with legislation and State policies and procedures for the management of records. Party political and personal records of Councillors are exempt.

2.3.2 General Manager

The General Manager is required under the *Archives Act 1983* to ensure that there is a system for the maintenance and management of records that is compliant with records management legislation and State guidelines and procedures. The General Manager is also required under the Act to ensure that no records are destroyed or disposed of except in accordance with an approved retention and disposal schedule.

2.3.3 Managers

All managers are to ensure that officers are aware of and comply with records management policy and procedures.

2.3.4 All staff

All staff will create and retain records relating to the business activities they perform. They are required to:

- make records to document and support business activities and decisions;
- ensure that records are captured and registered into the records management system; and
- ensure that records are secure at all times.

Officers must not:

- destroy, delete or alter records without proper authority;
- remove official records from the Central Highlands Council without permission; or
- lose, misuse or pass records to an unauthorised person.

2.3.5 Deputy General Manager

The Deputy General Manager is responsible for:

- ensuring that the records of the Central Highlands Council comply with the legal and professional obligations.
- ensuring that policies are implemented within the department; and

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- ensuring that staff are supported in terms of training and development in adhering to Records Management Policy and procedures.

3 RECORDS MANAGEMENT POLICY

3.1 POLICY STATEMENT

The Central Highlands Council is committed to making and keeping full and accurate records of its business transactions and its official activities. Records created and received by Council personnel and contractors, irrespective of format, are to be managed in accordance with the Council’s Record Keeping Plan and this Records Management Policy and Procedures Manual. Records will not be destroyed except by reference to the *Disposal Schedule for functional records of Local Government, Disposal Authorisation No. DA2200*.

3.2 RATIONALE

The *Archives Act 1983* compels each government agency to have in place a comprehensive record keeping framework referred to as a *Record Keeping Plan* that covers the management of *government records* from their inception to through to their final disposition by destruction or archiving.

Under the *Archives Act 1983* s3, a *government record* is defined as

“means a document, or an object, in any form (including any electronic form) that is, or has been, kept by reason of”:

- (a) any information or matter that it contains or that can be obtained from it; or
- (b) its connection with any event, person, circumstance or thing.

It is the responsibility of all employees and contractors to ensure that they create and maintain government records in accordance with the Central Highlands Council’s Record Management Policy. Failure to comply with this requirement is deemed to be an offence and could attract a penalty.

3.3 GUIDELINES

The Central Highlands Council has implemented systematic records management policies, procedures and practices to ensure the capture and management of all its records, irrespective of format. All elected members and staff will ensure that full and accurate records are created to reflect business transactions and decisions.

The Central Highlands Council has implemented an electronic Records Management System, InfoXpert. This system centres around a Business Classification Scheme, an index based on Keywords for Councils.

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It is the responsibility of all staff to ensure that records created or received are properly recorded within the InfoXpert system. This process includes registering hard-copy documents as scanned documents, or recording electronic documents, such as emails, directly into the system.

Corporate records will only be disposed of in accordance with the *Disposal Schedule for functional records of Local Government, Disposal Authorisation No. DA2200*.

4 RECORDS CREATION

4.1 POLICY STATEMENT

It is the responsibility of all staff to ensure that the business, operational and administrative activities of the Central Highlands Council are appropriately documented and that records are created and maintained in fulfilment of legislative requirements.

4.2 RATIONALE

Records should be compliant, adequate, complete, meaningful, comprehensive, accurate, authentic and inviolate. For records to be meaningful, the links between records documenting a sequence of actions should be maintained.

Records are required:

- To provide evidence of a transaction;
- To prove that policies, procedures or guidelines have been followed in arriving at a decision or outcome;
- To enable others to know what action occurred, what was decided, when it occurred, who was involved and the sequence of actions, therefore providing continuity and consistency in administration; and
- To defend against potential claims or future legal actions, for example workers compensation or breach of contract.

Records that must be captured into the official record keeping system include those that show:

- what happened;
- what was decided or recommended;
- what advice or instruction was given;
- when it happened;
- who was involved; or
- the order of events and/or decisions.

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4.3 PROCEDURES

Records may be created and accumulated as part of a business process, for example responding to correspondence, issuing of invoices. In other circumstances, active steps are required to create the record, as is the case with a telephone conversation. Some specific examples are:

Decisions and recommendations

Any decision impacting on the operations of Central Highlands Council, or for which the organisation may be held accountable, should be adequately documented to show who made the decision and on what basis it was made. This includes the background information and research that led to the decision.

Oral decisions and commitments

Any decision that is reached, or any commitment or transaction made verbally (i.e. person to person, or via telephone), should be adequately documented.

Meetings

The Minutes of a meeting are the record of the meeting, and should accurately document decisions made at the meeting. The minutes should include a copy of the agenda and all documents considered at the meeting, decisions taken and any other background papers involved in reaching the decision. This includes external meetings attended by a representative of Central Highlands Council.

Records of Correspondence

Sending or receiving a memorandum or piece of correspondence internally or externally, by letter, facsimile or electronic mail is a record and should be captured in the records management system.

5 RECORDS CAPTURE AND CONTROL

5.1 POLICY STATEMENT

All *government records*, irrespective of format, are to be registered and captured into the Central Highlands Council records systems. All correspondence should be registered within the appropriate folder in the Business Classification Scheme.

5.2 RATIONALE

To maintain integrity as evidence over time, records should be managed in an official records system, which can maintain and demonstrate the connection between a record and the business it documents. Within the Central Highlands Council, official records systems include paper-based filing systems (soon to be obsolete) and business systems that manage records. Examples include the Microsoft Dynamics Navision Financial system, the PropertyWise Property database, and the InfoXpert Records management system. Capturing records involves registering documents into the appropriate business

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classification scheme folder, recognising development applications and filing into a Development Application folder, and using business systems to record transactions.

Records capture and control helps to ensure that records are:

- Accessible to all who require them, subject to any restrictions that may apply;
- Controlled and managed in accordance with policy and procedures;
- Secured against tampering, unauthorised access or unlawful deletion; and
- Disposed of promptly in accordance with legal authority.

5.3 PROCEDURES

5.3.1 Mail Management and Registration

For the purposes of this document, “mail” includes the following:

- items distributed from Australia Post;
- items delivered by courier;
- hand delivered items;
- facsimiles; and
- electronic mail and attachments.

Incoming Mail

- All incoming mail addressed to the Central Highlands Council, including mail addressed to individuals (unless clearly marked as personal and/or confidential) will be opened. To avoid embarrassment, personal mail should be directed to a private address.
- Mail will be sorted into three groups – letters, invoices and cheques.
- When processing incoming mail containing cheques, money or money orders, two staff members should be present if possible. Cheques will be receipted by the Senior Administration Officer.
- All incoming correspondence will be date stamped to validate receipt. Care will be taken not to deface legal documents or papers that may need to be returned to the sender.
- Invoices will be stamped with the invoice stamp, which contains a date stamp.
- Records of a corporate nature received directly by staff via facsimile or electronic mail transmission, through a courier service, or “by hand” (for example at meetings, presentations etc.) will be registered appropriately by the receiver into the records management system.

Registration

- Records will be registered into InfoXpert and given a unique document identification number and brief description.
- The following material is not registered:
 - promotional and advertising material;

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- invitations;
 - newspapers and magazines; and
 - cheques and invoices.
- Registration of the record will link the record to descriptive information about the context of the record, and to related records. The following information will be included as a minimum:
 - Unique document identifier
 - Date of receipt
 - Document name or title (for example, the subject line)
 - Date of creation
 - Author
 - Recipient

The unique document number will be recorded on the original hard copy document (if it is necessary to print a hard copy) and recorded as metadata about registered electronic copy.

Mail Distribution

All mail is delegated to the officer responsible at the point of registration into InfoXpert. The mail has the relevant document identification number and disposal information recorded on it and filed into day boxes at the Records Officer's workstation. Mail is delegated as follows:

REQUEST TYPE	LEAD
	OFFICER
Corporate	
Complaints - CC&S Staff	General Manager
Complaints - Staff - Development Services	General Manager
Complaints - Staff - Assets & Engineering	Works & Services Manager
Complaints - Policy	Deputy General Manager
Rates Enquiries	Senior Admin Officer
Valuation Enquiries	Senior Admin Officer
Pension Rebates	Senior Admin Officer

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Change of Address	Senior Admin Officer
Rates Searches	Senior Admin Officer
Change of Owners	Senior Admin Officer
Property Queries	Senior Admin Officer
Payroll Queries	Senior Admin Officer
Accounts Payable	Senior Admin Officer
Accounts Received	Senior Admin Officer
Public Amenity	
Dog Complaints	Animal Control Officer
Livestock	Animal Control Officer
Fire Hazards(including backyard burning)	DES Manager
Abandoned Motor Vehicles	Works & Services Manager
Overgrown Land	DES Manager
Commercial Water Carters	Environmental Health Officer
Onsite Waste Management Systems	Environmental Health Officer
Public Health Risk Activities (Tattoos etc.)	Environmental Health Officer
Notifiable Diseases	Environmental Health Officer
Immunisation	Environmental Health Officer
Noise Complaints	
Fowl/Animal	Animal Control Officer
Machinery	DES Manager

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Motorbikes	DES Manager
Chainsaws etc.	DES Manager
Other Complaints	
Odour	Environmental Health Officer
Food	Environmental Health Officer
Air/Dust	Environmental Health Officer
Licence/Permits	
Food (Van/Mobile)	Environmental Health Officer
Temporary Food Premises	Environmental Health Officer
Food (Premises)	Environmental Health Officer
Place of Assembly	Environmental Health Officer
Trade Waste	Environmental Health Officer
Place of Assembly	Environmental Health Officer
Temporary Place of Assembly	Environmental Health Officer
Leases/Licences Council & Crown Land	Deputy General Manager
Other Requests	
Hire of Park	Admin Officer
Hire of Hall	Admin Officer

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Development	
Advertising Signs	DES Manager
Developments (General Requests)	DES Manager
Illegal Buildings	DES Manager
Building Enquiries	DES Manager
Plumbing Inspections	DES Manager
Plumbing Enquiries	DES Manager
Town Plan Enquiries	DES Manager
Zone/Land Use	DES Manager
Planning Scheme	DES Manager
Town Plan General	DES Manager
Planning Permits	DES Manager
Council Properties	DES Manager
Council Buildings	
Hire Of Halls	Admin Officer
Hire of Civic Centre	Admin Officer
Maintenance	Works & Services Manager
<i>Festivals/Events</i>	
Organisation	Admin Officer
Bookings	Admin Officer
Halls	Admin Officer
Civic Centre	Admin Officer
<i>Recreation</i>	
Football	Admin Officer

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Cricket	Admin Officer
General	Admin Officer
Risk Management	
Falls (External)	All Managers
Falls (Internal)	All Managers
Accidents - General	All Managers
Property Damage	All Managers
Motor Vehicle Accident	All Managers
Engineering	
Roads	
Road funding	Works & Services Manager, Deputy General Manager
Road signage	Works & Services Manager
Street/road names	DES Admin Officer
Street/road cleaning	Works & Services Manager
Footpaths	Works & Services Manager
Road use data	Works & Services Manager
Council road enquiries and information	Works & Services Manager
Line marking and pavement management	Works & Services Manager
Roadside management (inc. nature strips)	Works & Services Manager

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Road Opening Permits (Telstra/Aurora etc.)	Works & Services Manager
Road closures	Works & Services Manager
Rural road numbering	DES Admin Officer
Electricity	
Requests for lighting	Works & Services Manager
Telephone Services	
Intention to perform work	Works & Services Manager
Telecommunications network	Works & Services Manager
Bridges and Structures	
Bridges	Works & Services Manager
Boat ramps	Works & Services Manager
Waste Management	
Refuse disposal facilities	DES Manager
Recycling	DES Manager
Kerbside recycling collection	DES Manager
Domestic refuse collection (MG Bins)	DES Manager
Drainage	
Rural drainage/culverts	Works & Services Manager

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<i>Traffic and Transport</i>	
Bus services	Works & Services Manager
Railways	Works & Services Manager
Traffic management	Works & Services Manager
Black Spot Program	Works & Services Manager
Overweight vehicles	Works & Services Manager
<i>Works Facilities and Materials</i>	
Works Depot	Works & Services Manager
Annual tenders - materials	Works & Services Manager
Annual tenders - plant hire	Works & Services Manager
<i>Vehicles, Plant and Equipment</i>	
Sedans and wagons	Works & Services Manager
Vans and utilities	Works & Services Manager
Light trucks	Works & Services Manager
Medium trucks	Works & Services Manager
Heavy trucks	Works & Services Manager
Special purpose trucks	Works & Services Manager

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Tractors and mowers	Works & Services Manager
Earthmoving and road making equipment	Works & Services Manager
Miscellaneous equipment	Works & Services Manager
Fuel	Works & Services Manager
Registrations	Works & Services Manager
<i>Natural Resource Management</i>	
Playgrounds and equipment	Works & Services Manager
Trees and vegetation (removal and planting)	Works & Services Manager
Weeds	Weeds Officer
<i>Emergency Management</i>	
Emergency management plans	DES Manager
SES	DES Manager
<i>Council Buildings and Facilities</i>	
Public toilets	Works & Services Manager
BBQ facilities	Works & Services Manager
<i>Engineering Administration</i>	
Vandalism (including graffiti)	Works & Services Manager
Crossovers	Works & Services Manager

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Outgoing Mail

- Documents created by Central Highlands Council staff, including internal memoranda, minutes and reports, and outgoing correspondence, will quote a document identification number, obtained upon registration to the records management system.

5.3.2 Electronic Records

An electronic document becomes an electronic record when it takes part in a business transaction. For example, a report prepared using a word processing application remains an electronic document until it is submitted.

All electronic documents, plans, images etc. which constitute a record, as defined under the *Archives Act 1983*, must be captured into a corporate approved system which meets the record keeping requirements under the *Archives Act*.

Elected members and staff, including contractors, will ensure that electronic records created outside corporate approved systems, for example in office applications such as word processing, spreadsheets etc., are scanned and/or directly recorded into the Central Highlands Council's records management system as soon as possible.

It is not necessary to print documents that are captured in the Council's records management system, as this creates duplicate records.

5.3.3 Email Management

Emails created or received by elected members or staff, in connection with their official Central Highlands Council business, are the property of the Central Highlands Council. They are *government records* and are subject to the same record keeping requirements as government records in other formats.

Electronic messages, like records in other formats, are subject to legislation such as the *Right to Information Act 2009* and to legal processes such as discovery and subpoenas. The records may also be required by Royal Commissions, the Courts, auditors and other people or bodies to whom or which they may be subject.

Elected members and staff are responsible for managing their own email documents manually. Incoming and outgoing messages should be registered into the Central Highlands Council's records management system under the appropriate Business Classification Scheme folder, and such messages include:

- messages documenting business of the Central Highlands Council;
- formal communications between staff, for example a Minute, report or submission; and
- messages which have continuing value for the Council, its ratepayers and the community (refer Section 1 – Definitions for explanation of records of continuing value).

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5.3.4 Document Management

Central Highlands Council's corporate records will be stored in day boxes and managed by the records management system. The physical movement of hard copy documents will not be permitted, except at the request of the General Manager or Deputy General Manager.

Business Classification Scheme – Folder List

The Folder List is maintained in InfoXpert and holds documents specific to that folders' subject. It is derived from Keywords for Councils, based around the functions performed by Local Governments, and developed specific to the Central Highlands Council.

New folder creation

Additional Folders are only created by the Records Officer upon consultation with Keywords for Council, to avoid duplication of folders, and to maintain disposal information. New Folders are created when:

- There is no appropriate existing folder; or
- A new Significant Project is created.

New folders will be created by the Records Officer and have recorded a Disposal Schedule from the *Disposal Schedule for functional record of Local Government, Disposal Authorisation No. DA2200*.

Document Location

- The primary place to house all original hard copy documents will be the day boxes.

Attachment to File

- Documents must be registered to a folder as soon after creation or receipt as possible.
- The following material should not be registered unless otherwise directed:
 - Incoming promotional and advertising material;
 - Duplicates of documents, unless they contain handwritten notes or comments;
 - Blank forms;
 - Reports, magazines or newsletters published by other organisations; and
 - Vendor brochures.

File Audit

- A regular audit will be conducted of all folders in the records management system.
- The audit will confirm that documents are registered to their appropriate folder in the business classification scheme.

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- The audit will also identify documents or folders that have not had disposal information applied to them.

5.3.5 Website Management

The Central Highlands Council municipal website is hosted on-site at the Council Chambers. Updates and changes of the content on Council’s website are undertaken by the site Webmaster, and software application updates are outsourced.

Nightly backups are performed from the Web Server to tape.

Records of posted content on Council’s Website are only maintained through the physical documents (PDF, etc.) which are stored on Council’s Global Drive.

5.3.6 Metadata Management

Metadata is data about data and it describes who, what, where, when and why records about a business activity or transaction were created. The Central Highlands Council is responsible for ensuring that all metadata elements associated with its record keeping system (InfoXpert) are captured, stored and made accessible at all times.

Record keeping metadata ensures that records can be effectively retrieved over time and across platforms and systems as they are changed. Metadata is represented by the fields used to capture information about the record. Examples of information about records which must be captured are as followed:

- How the record was created, i.e. the application;
- The creator, or author, of the record;
- The date and time of the record creation or receipt;
- The relationship one record has with another, if any (its associations);
- The provenance of the record, that is the organisational context in which it was created;
- The level of security access held by each user of the record keeping system;
- The title of the record; and
- The changes made to a record:
 - For electronic records, who made the change and the nature of the change;
 - For hard copy records and files, movements from location or person to another location should be tracked.

Each identified record and its associated metadata must be inextricably linked for as long as the record is required, as defined under the applicable approved Records Retention and Disposal Schedule

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6 SECURITY AND PROTECTION OF RECORDS

6.1 POLICY STATEMENT

The Central Highlands Council is responsible for the security and protection of all records created or captured as part of the Council's day to day operations. All Council staff and contractors have a responsibility to apply the following security and protection measures to all records created or received when carrying out the Council's business.

6.2 RATIONALE

Records should be maintained in a safe and secure environment ensuring their useability, reliability, authenticity and preservation for as long as they are needed. By implementing this policy and guidelines, based on national and international best practice, the Central Highlands Council will be able to protect and use its records as corporate assets.

Providing a safe and secure environment for Central Highlands Council's records ensures that records are:

- accessible to all who have the required security access;
- secure from unauthorised disclosure which could damage the Central Highlands Council's corporate security or individual privacy, give unfair commercial advantage or cause harm to an individual or organisation;
- secured against tampering, unauthorised access or unlawful deletion;
- protected in appropriate environmental conditions ensuring the availability of records as long as they are required;
- stored in a cost-effective manner;
- secure and accessible for as long as they are required to meet business, and accountability needs and community expectations; and
- able to assist the Central Highlands Council to meet its recordkeeping requirements under the *Archives Act 1983* and other relevant legislation.

6.3 PROCEDURES

File Security

- The Central Highlands Council's offices have a security alarm fitted and the building is locked outside office hours. After-hours access is by access code restricted to specified staff.
- Issue of keys is restricted and details are maintained in a Key Register.
- Individual officers are responsible for the security of records held in their offices

Confidentiality

All Central Highlands Council Staff and Contractors must treat Council information as confidential and not release it in any form to third parties, without relevant approval.

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Computer Systems

Access to the Central Highlands Council's entire computer network is via a 'login' and each person has their own login.

Location

It is the responsibility of the Records Officer to verify that each storage area meets the requirements under the *Principles and Standards* and the Australian Standard AS ISO 15489.2 for Records Management. Sites should be weatherproof, have good drainage, be dedicated to the storage of records, and be intruder resistant and access controlled.

Central Highlands Council staff and contractors must not store records in areas that are not authorised. Records should be returned to authorised storage areas as soon as possible after use.

Environmental control

Records must be stored in an environment appropriate for their format and the period they are required to be kept. Records must be kept in areas that:

- have reasonable temperature and humidity levels
- exclude direct sunlight
- have good air quality and circulation, and
- in the case of magnetic media, are free from magnetic fields.

Central Highlands Council staff and contractors should return records to authorised storage areas after use, so that they are kept in suitable environments. Whilst records are in use, they should not be exposed to direct sunlight or other risks.

Shelving and packaging

All shelving and packaging used for records storage should protect them from deterioration. Shelving and packaging should:

- be clean
- be in a good state of repair
- be strong enough to withstand the weight of the records
- be of appropriate quality suitable for the record's format and its period of retention
- meet occupational health and safety requirements.

Council staff and contractors should notify the Records Section of inappropriate or damaged shelving and containers, or WH&S risks. Records should be returned carefully to their proper containers and shelving after use.

Careful handling

To prevent damage to records from poor handling:

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- Staff will be informed of the proper handling techniques for the record formats they use;
- Records will be handled properly when they are temporarily removed from the organisation for legitimate business purposes, such as when they are taken to building sites; and
- Records will be protected while they are being converted to other formats, for example, when they are imaged.

6.3.1 Systems Management

The Records Officer is responsible for maintaining the Business Classification Scheme held in InfoXpert. Access to the Business Classification Scheme and other Indexes is handled by security attached to documents and folders, and by Microsoft Windows Server authentication with appropriate logins and password.

Security to the networked computer system used within the Central Highlands Council is controlled through Microsoft Windows Server authentication with appropriate logins and password.

The Council runs several Servers which holds all files and documents created by Officers.

The Council's IT Contractor is responsible for the general maintenance, upgrades and security to these systems.

6.3.2 Migration Strategy

On replacement or upgrade of any Central Highlands Council corporate system containing corporate information and records, all legacy data, information and records which constitute corporate records will be migrated and preserved into the replacement system.

Both financial software (accounting and rating) are SQL based. During the migration of data, both systems - new and old will be run concurrently until the new system has proven fully operational and the integrity of the data (both historical and current) can be relied upon. Backups of both systems would continue as outlined above.

Where no replacement system exists, the Central Highlands Council will ensure all legacy data, information and records which constitute corporate records will be migrated to a system which will ensure the integrity of the data, or the current system will be maintained and operational so that information and records may be accessed as long as required under Retention and Disposal requirements.

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7 ACCESS TO RECORDS

7.1 POLICY STATEMENT

Access to the Central Highlands Council's records by staff and contractors will be in accordance with designated access and security classifications. Access to the Council's records by the general public will be in accordance with the *Right to Information Act 2009*.

7.2 RATIONALE

Central Highlands Council is responsible for the protection, safe custody and care of all State records under its control. Requests for access to records will be received from different groups and for different reasons. Providing access to records-based information is achieved through the provision of effective recordkeeping which supports business operations and enables the Central Highlands Council to meet statutory and other requirements.

7.3 PROCEDURES

Internal access to records

- Records must be available to all Elected Members, staff and contractors who require access to them for business purposes of the Central Highlands Council.
- Some records created by the Central Highlands Council will be of a sensitive or confidential nature and will require access to them to be restricted to one or more people.
- Right of access to each record will be determined by the security classification attached to the record.
- Confidential records will be restricted to those entitled to have access.

External access to records

Access to Central Highlands Council records by members of the public will be in accordance the *Right to Information Act 2009*.

Accessibility

- Records will be stored in a way that they can be identified and retrieved easily and quickly by Central Highlands Council staff and contractors.
- Records will be housed in locked cupboards or areas which are not accessible to the public or other unauthorised personnel.
- The location of the records must not impede retrieval requirements

As a general rule, no Central Highlands Council records should be removed from Central Highlands Council premises. However, it is sometimes necessary to remove files such as Building Applications and Licences. Where records are removed from Central Highlands Council premises, the loan to the individual concerned must be recorded and the care of the record is the responsibility of the person to whom the record has been loaned.

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8 APPRAISAL, RETENTION AND DISPOSAL OF RECORDS

8.1 POLICY STATEMENT

Records will only be destroyed or otherwise disposed of by reference to the *Disposal Schedule for functional records of Local Government* issued by the Tasmanian Archive & Heritage Office, and following authorisation from the Records Officer and the General Manager. Records identified as a State Archive should be transferred to the Tasmanian Archive and Heritage Office in accordance with the requirements of the *Disposal Schedule for functional records of Local Government Disposal Authorisation No DA2200*.

8.2 RATIONALE

The appraisal, retention and disposal of records should be handled in a systematic and consistent manner to ensure that records are:

- retained:
 - to satisfy operational, administrative or evidential purposes;
 - to comply with statutory or regulatory requirements; or
- are destroyed when they have no further use.

8.3 PROCEDURES

- The Records Officer or their delegate will appraise records in accordance with the *Disposal Schedule for functional records of Local Government Disposal Authorisation No DA2200*. on an annual (old records) and weekly (current incoming records) basis.
- Disposal of records, either by destruction or by archiving, will occur only with the written approval of the General Manager. Such disposal will occur in accordance with *Disposal Schedule for functional records of Local Government Disposal Authorisation No DA2200*.
- Records will generally be destroyed once they have reached the end of a specified retention period, but only if the record is no longer required for administrative or business use.
- Records due for destruction will be destroyed, after formal approval, in a manner that is environmentally friendly and irreversible, with no risk of the records being recoverable. A Certificate of Destruction must be obtained and attached to file.
- Records will not be destroyed if they are required for an inquiry, investigation or legal action.
- Records which are State Archives will be transferred to the Tasmanian Archive & Heritage Office in accordance with the specified retention periods in the *Disposal Schedule for functional records of Local Government Disposal Authorisation No DA2200*.
- The disposal of any record, either by destruction or transfer to the Tasmanian Archives & Heritage Office for permanent retention, must be documented in the records management system by completion of the Disposal Register for documents identified for disposal.

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