



**Liverpool  
Plains**  
Shire Council

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## **Council Policy:**

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*Information and Records  
Management*

*2021*

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## INFORMATION ABOUT THIS DOCUMENT

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Document History		
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D22/6660	June 2021	Review and Combine Policy 1.42 – Records Management and Policy 1.43 – Records Management Policy and Procedures for Councillors.
1.42	27 Sept 2006	Records Management Policy Resolution 10523
1.43	27 Sept 2006	Records Management Policy and Procedures for Councillors Resolution 10523

Further Document Information and Relationships	
<i>List here the related strategies, procedures, references, policy or other documents that have a bearing on this Council Policy and that may be useful reference material for users of this Council Policy.</i>	
<b>Related Legislation</b>	<a href="#"><u>State Records Act 1998</u></a> <a href="#"><u>State Records Regulation 2015</u></a> <a href="#"><u>Evidence Act 1995</u></a> <a href="#"><u>Government Information (Public Access) Act 2009</u></a> <a href="#"><u>Health Records and Information Privacy Act 2002</u></a> <a href="#"><u>Privacy and Personal Information Protection Act 1998</u></a> <a href="#"><u>Public Finance and Audit Act 1983</u></a>
<b>Related Policies</b>	ICT Equipment Standards and Security Business Continuity Management
<b>Related Documents</b>	NSW State Records Standard: No. 11 – Physical storage of state records NSW State Records Standard: No. 12 – Standard on records management LPSC Record Keeping Guidelines for Staff RLPSC Record Keeping Guidelines for Councillors

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## 1 Objective

The purpose of the Information and Records Management Policy is to:

- a. Ensure that full and accurate records of all activities and decisions of Liverpool Plains Shire Council (Council) are created, managed and retained or disposed of appropriately and in accordance with relevant legislation.
- b. Enable Council to achieve information accessibility, business enhancement and improvement,
- c. Provide for Council to meet its obligations for accountability while ensuring that it protects the rights and interests of Council, its staff, customers and the community.

## 2 Scope

This Policy applies to all Liverpool Plains Shire Council operations and covers activities undertaken by councillors, staff, consultants, volunteers and contractors when discharging functions of Council. All staff, consultants, volunteers and contractors of Council must comply with this document in their conduct of official business of Council.

This Policy applied to information and records:

- a. In all formats, including (but not limited to) electronic or hardcopy documents, structured data, emails, texts (SMS'), instant messages, handwritten notes, video and voice recordings, facsimiles, telephone messages, transmission reports etc.
  - b. That are 'originals' or reproduction of those or other originals;
  - c. Created by all parties, internal and external to Council'
  - d. For their entire lifecycle from creation or capture, through to storage and authorised destruction; and
- Whilst on Council premises or off-site in/on any location, platform or device.

### 3 Definitions

*For the purpose of this Policy Document the following definitions apply:*

Term	Definition
CM9	Content Manager Version 9. This is the official EDRMS used by Liverpool Plains Shire Council and replaced an earlier version called TRIM. You will often hear TRIM and CM9 used interchangeably.
Document	Recorded information or object which can be treated as a unit. Document means any record of information, and includes anything on which there is writing, marks, figures, symbols or perforations having a meaning for the person qualified to interpret them; anything from which sounds, images or writings can be reproduced with or without the aid of anything else; a map, plan, drawing or photograph.
EDRMS	Electronic Document and Records Management System is an electronic document and records management system. It is 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 in an integrated way. Refer CM9 and TRIM.
Metadata	Is data that describes records, people and business activities in a suitable amount of detail to ensure better information accessibility; improved records management, and greater accountability in business operations.
Record	Information created, received, sent and maintained as evidence and information by an organisation or person, in pursuance of legal obligations or in the transaction of business.  Any document or other source of information compiled, recorded or stored in written form or on film, or by electronic process, or in any other manner or by any other means. <i>(State Records Act 1998)</i>
Recordkeeping	Making and maintaining complete, accurate and reliable evidence of business transactions in the form of recorded information.
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 and information about business activities and transactions in the form of records.
TRIM	TRIM a predecessor EDRMS developed by HP. In August 2013 HP announced that HP TRIM would be integrated into a unified platform called HP Records Manager 8.0. In June 2016, HP Records Manager 8.0 was renamed and upgraded to HP Content Manager 9 (CM9). You will often hear TRIM and CM9 used interchangeably.
User	Council employee operating CM9.

## 4 Statement

Liverpool Plains Shire Council (Council) is committed to meeting its responsibilities under the NSW State Records Act 1998 and to implementing best practice in its information management practices and procedures. The State Records Act requires public offices to 'make and keep full and accurate records' of their business activities.

Records are a corporate asset, forming the corporate memory. They support accountability of the organisation by providing evidence of actions and decisions, and are a vital asset providing support of our daily functions and operations. They support decision-making, policy formulation and protect the interests of Council.

Other legal obligations relating to records management and provision of records arise from the Acts, Regulations and standards listed in the Document Information section of this Policy.

Council is committed to a culture of best-practice records and information management, compliant with the relevant legislative and regulatory requirements and underpinned by the principles in *AS ISO 15489.1: 2017 Information and documentation - Records management, Part 1: Concepts and principles*, throughout the information lifecycle.

Records and information are captured, managed and used in the most efficient and appropriate format, with a preference for the creation and maintenance of digital only records wherever possible. Information is not unnecessarily duplicated, and the creation, storage and management of irrelevant, unnecessary or ephemeral information are kept to a minimum.

Personal information is collected lawfully and fairly, and is safeguarded from unauthorised access, use, disclosure, modification or loss in accordance with the *Privacy and Personal Information Protection Act 1998* (PIPP Act) and the Council's Information Security Management System.

### 4.1 Creation and Capture of Records

All staff, councillors, contractors and volunteers are responsible for ensuring records of business activities they undertake are created and captured in Council's approved record keeping system.

### 4.2 Storage, Protection and Security

All records should be stored appropriately to allow for their retrieval, use and preservation.

In doing so, the security, privacy and confidentiality of records should be maintained.

### 4.3 Access

Access to Council records is made in accordance with relevant legislation and Council's Code of Conduct.

The following security groups are established in CM9, with access to each security group restricted to the identified members:

Group	Members
System Administration	Manager Customer and Information Services Business Systems Administrator Records Officer
General Manager Confidential	General Manager Senior Executive Officer
Human Resources Confidential	General Manager Director Corporate and Community Services Manager (Governance Risk and Human Resources) Human Resources Business Partner Workplace Health and Safety and Risk Business Partner Payroll Officer
Executive Leadership Team Confidential	General Manager Director Corporate and Community Services Director Infrastructure and Environmental Services Chief Financial Officer Senior Executive Officer
Public Officer Confidential	General Manager Director Corporate and Community Services Manager Customer and Information Services Manager (Governance Risk and Human Resources) Governance and Corporate Performance Officer
Payroll Confidential	Chief Financial Officer Senior Accountant Payroll Officer
Internal Audit Confidential	General Manager Director Corporate and Community Services Director Infrastructure and Environmental Services Manager (Governance Risk and Human Resources) Governance and Corporate Performance Officer Senior Executive Officer
All Users	All Users

#### **4.4 Archiving, Disposal and Destruction**

All records must be protected, maintained and accessible for their entire retention period as outlined in the General Disposal Authority No. 39 for Local Government Records (GDA39) under the *State Records Act 1998*.

Records cannot be disposed of without the approval of the Manager Customer and Information Services

##### ***Appraisal and Transfer***

Records are to be appraised prior to individual business units boxing/archiving the records to ensure compliance with the retention and disposal schedule. Once the records are boxed, both the boxes and a list of the contents against each box are to be provided to the Records Officer for indexing, registration and archiving.

##### ***Disposal***

Original and source records will be stored and maintained by the Records Officer in day boxes for a period of six (6) months, which complies with General Retention and Disposal Authority No. 45 for Original or Source Records (GA45).

##### ***Retention***

All records required to be maintained on a permanent basis as per their retention schedule will be stored in a secure environment.

Documents and metadata of documents must be maintained electronically on servers. Backups of the server are taken on a regular basis.

## **5 Legislative and Strategic Content**

- *Evidence Act 1995*
- *Government Information (Public Access) Act 2009*
- *Health Records and Information Privacy Act 2002*
- *Privacy and Personal Information Protection Act 1998*
- *Public Finance and Audit Act 1983*
- *State Records Act 1998*
- *State Records Regulation 2020*