



Illawarra Venues Authority

RECORDS MANAGEMENT POLICY

SUBJECT: Records Management Policy
Policy No: IVA 032

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1. AUTHORITY OF THIS POLICY

This policy has been approved by the Authority of the Illawarra Venues Authority and has been authorised by the General Manager of the Illawarra Venues Authority. It has been developed in consultation with the management and staff of the Illawarra Venues Authority.

2. COMPLIANCE WITH THIS POLICY

All Authority members, management, staff, contractors and consultants must comply with this policy and procedures issued in accordance with this policy.

3. PURPOSE OF THIS POLICY

The purpose of this policy is to ensure that full and accurate records of all activities, decisions and transactions of the Illawarra Venues Authority are created and managed to meet the Authority's needs and accountability requirements.

The policy will achieve this aim through establishing a records management program for the Illawarra Venues Authority. The policy provides a framework and outlines responsibilities for the operation of the records management program, and is required under section 2.1 and 2.2 of the *State Records Act 1998*.

4. RECORDS MANAGEMENT PROGRAM

The records management program is a planned, coordinated set of policies, procedures and activities that is required to manage the records of the Illawarra Venues Authority.

The objectives of the records management program are that:

- The Illawarra Venues Authority has the records it needs to support ongoing business activity and customer services, meeting accountability requirements and community expectations.
- These records are managed efficiently and effectively as possible
- These records are able to be easily retrieved and used to meet the Authority's needs
- The Authority complies with all external requirements concerning its records and record management practices
- Records relating to important Library activities are preserved for historical and other research

5. VALUE OF RECORDS AS AUTHORITY ASSET AND RESOURCE

The Authority recognises that its' records are a valuable and vital information resource which are necessary for the effective and accountable conduct of its business.

These records:

- Support policy formation and decision making
- Protect the interests and rights of the Authority members, its employees, clients and the community

- Help deliver services in consistent and equitable ways
- Help the Authority and its staff to make good use of precedents and organisational experience

6. ADMINISTRATIVE SETTING OF THE RECORDS MANAGEMENT PROGRAM

As the Authority is a relatively small statutory body, the role of 'records management coordinator' will be assumed by a nominated staff member, in close consultation with the Manager Corporate Services. The nominated staff member will be responsible for the development of record keeping procedures, training of staff, and planning, implementation, monitoring and analysis of the records management program.

7. LEGISLATIVE REQUIREMENTS AND GOVERNMENT DIRECTIONS FOR RECORDKEEPING

See Appendix A for a list of legislation and government requirements which affect record keeping.

8. ELECTRONIC RECORDS

Activities and business transacted electronically must be documented and managed according to this policy.

Electronic records fall into two main categories – PC based documents (including email, word processing, spreadsheets, etc) and databases or other complex systems.

All electronic PC based documents which are evidence of business transactions (i.e. records) should be printed out, signed and dated, and placed on an official file.

Whenever new databases and automated systems are being implemented, the Manager Corporate Services should be consulted to determine the recordkeeping requirements.

Existing databases should be maintained so that entries which are no longer current are transferred to historical form and kept for as long as required, in legible form.

9. PROCEDURES

Standard procedures for records management will be developed under the authority of this policy.

10. PLANNING AND MONITORING

The Manager Corporate Services will monitor records management operations and make recommendations for improvements or modifications of practices consistent with this policy.

The Manager Corporate Services will be responsible for making arrangements with the State Records Authority to enable them to monitor the records management program, including completion of the annual Records Management Survey.

11. CREATION AND CLASSIFICATION OF RECORDS

All decisions and transactions undertaken by the Authority must be recorded. A file note must be completed for any telephone conversation, unstructured meeting, or other form of communication which results in a decision or transaction.

A system of numbering and classification will be developed for all records that are created. Examples of classifications could include:

- Authority Meeting Minutes
- Authority Correspondence
- Venue Hire Agreements
- Administration
- Financial Records
- Personnel Records

The classification will determine for each record:

- The retention period and disposal action
- The internal access status
- Whether it contains personal information
- Whether it contains policy or precedent material
- The owner of the information

12. OFFICIAL FILES AND WORKING FILES

All paper based records should be placed on an official file. Official files are registered on an approved official register. Many staff maintain working files, which can consist of copies of records, copies of circulars, working papers, background information, and drafts. Staff can maintain their own working files, as long as:

- No records are placed in working files (copies of records may be placed in working files, as long as the relevant originals are on an official file).
- Records contain adequate evidence on how and why an outcome was reached (e.g. a decision made), and do not rely on drafts or working papers, for this evidence (if they do, the drafts/ working papers should be placed on an official file).

13. ACCESS TO RECORDS

Records must be available to all staff that need access to them for business purposes.

The assumption is that all records will be available to all staff unless there is a good reason to restrict access. Who will have the a right of access to each record will be determined by the classification used to title the record.

14. TRACKING THE LOCATION OF RECORDS

Records are an asset and should be able to be accounted for and located at all times. Staff shall be fully trained to retrieve the information from the records efficiently.

Staff members need to notify the records management coordinator when moving records from one place to another.

15. DISPOSAL OF RECORDS

Records must be protected, maintained, findable, and useable for their entire retention period, as outline in the relevant disposal authority by the State Records Act 1998. A disposal authority will be developed for records that are unique to the Authority. Records that are common to all government organisations are covered by general disposal authorities.

Records cannot be disposed of other than in accordance with the State Records Act 1998 and the Authority's records management procedures.

Records can not be disposed of without the concurrence of the Manager Corporate Services and the records management coordinator.

16. ARCHIVES

The Authority will from time to time in relation as to whether to transfer custody of its State archives to the State Records Authority, or retain custody itself.

17. STORAGE OF RECORDS

Records should be stored in a manner that is efficient in space and cost, and so as to minimise the potential for damage. Records no longer required for current operations should be archived.

Records should be stored in a way that minimises unauthorised access.

18. RECORDS MANAGEMENT RESPONSIBILITIES

18.1. Manager Corporate Services

- Ensure that the Authority complies with the State Records Act and regulations
- Ensure compliance with other legislation relating to records
- Develop and maintain a Records Management Policy
- Develop Records Management Procedures, in conjunction with the records management coordinator
- Develop a Records Management Program, in conjunction with the records management coordinator
- Set and issue corporate standards in relation to all aspects of records management and monitor compliance with those standards
- Develop and oversee a records management training program

18.2. Records management coordinator

- Assist in the development of Records Management Procedures and a Records Management Program
- Design record keeping systems, standard procedures and official registers
- Ensure that records are registered on an approved official register, and maintain that register
- Formulate and maintain the record classification and numbering system
- Authorise the disposal of records, along with the Manager Corporate Services
- Ensure that all staff are aware of their records management responsibilities
- Assist in the development and delivery of a records management training program

18.3. Department Managers

- Ensure that records are created and managed within their department in a way that complies with records management policies and procedures
- Ensure that their staff are trained to create and manage records
- Liaise with the Manager Corporate Services and records management coordinator on records management issues

18.4. All staff

- Comply with all records management policies and procedures
- Create full and accurate records of activities, transactions and decisions

Appendix A - Legislative requirements and government directions for recordkeeping

The following is a list of legislation and government directions which have a major effect on recordkeeping and must be complied with:

- State Records Act 1998 – including standards and Disposal Authorities
- Freedom of information Act 1989
- Privacy and Protection of Personal Information Act 1998
- Evidence Act 1995
- Electronic Transactions Act 2000
- Public Sector Management Act 1988
- Public Audit & Finance Act 1983
- NSW Treasurer's Guidelines

Appendix B - Glossary of terms

This glossary is taken from the State Records Authority Glossary of Recordkeeping Terms.

Access

Right, opportunity, means of finding, using or retrieving information. This includes the granting of permission to:

- use the reference facilities of an archives
- examine and study individual archives and or collections held by archives
- extract information from archives and records for research or publication.

Access to archives may be restricted or withheld to prevent physical damage to original records or to protect confidential information.

Under the State Records Act 1998, the public is entitled to access records over 30 years of age. Public access is authorised by public offices making access directions.

Accountability

The principle that individuals, organisations and the community, are responsible for their actions and may be required to explain them to others.

Appraisal

The process of evaluating business activities to determine which records need to be captured and how long the records need to be kept, to meet business needs, the requirements of organisational accountability and community expectations.

Business Activity

Umbrella term covering all the functions, processes, activities and transactions of an organisation and its employees. This includes public administration as well as commercial business.

Classification

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

Disposal

A range of processes associated with implementing appraisal decisions. These include the retention, deletion or destruction of records in or from recordkeeping systems. They may also include the migration or transmission of records between recordkeeping systems, and the transfer of custody or ownership of records.

Disposal Authority

Documents authorised by the Authority of State Records NSW that set out appropriate retention periods for classes of records. There are two main types:

Functional retention and disposal authorities authorise the retention and disposal of records unique to a specific organisation.

General retention and disposal authorities authorise the retention and disposal of records common to more than one organisation. Such records may include:

- general administrative records
- common records that relate to unique functions, and
- records relating to the unique functions of like organisations such as local councils, universities, and public health services.

Electronic Records

A general term covering all forms of electronically-mediated communication. This includes electronic mail for text messages and an equivalent service that uses recordings of spoken messages, known as voice messaging. It may also include computer conferencing and videotext. Also used as synonymous with electronic mail.

Evidence

Information that tends to prove a fact. Not limited to the legal sense of the term.

Human Resource Records

Special secure access arrangements will be made for Human Resource records to ensure confidentiality.

Information Management

Information Management (IM) describes the measures required for the effective collection, storage, access, use and disposal of information to support agency business processes. The core of these measures is the management of the definition, ownership, sensitivity, quality and accessibility of information. These measures are addressed at appropriate stages in the strategic planning lifecycle and applied at appropriate stages in the operational lifecycle of the information itself.

Official register

A register is a list which contains basic information about records such as each record's number, title, what it deals with, and its location. An official register is one which has been approved by the records management coordinator.

Recordkeeping

Making and maintaining complete, accurate and reliable evidence of business transactions in the form of recorded information.

Recordkeeping includes the following:

- the creation of records in the course of business activity and the means to ensure the creation of adequate records;
- the design, establishment and operation of recordkeeping systems; and
- the management of records used in business (traditionally regarded as the domain of records management) and as archives (traditionally regarded as the domain of archives administration).

Recordkeeping requirements

Requirements arising from regulatory sources, business needs and community expectations that identify the types of records that should be created and the management framework needed in order to have, and accountably manage, all the business information that is necessary for an organisation.

Recordkeeping systems

Recordkeeping systems are business information systems capable of capturing, maintaining and providing access to records over time.

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.

Record means 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.

Records management

The discipline and organizational function responsible for the efficient and systematic control of the creation, receipt, maintenance, use and disposal of records, including processes for capturing and maintaining evidence of and information about business activities and transactions in the form of records.

Records management program

A records management program encompasses the management framework, the people and the systems required within an organisation to manage full and accurate records over time. This includes the identification and protection of records with longer-term value that may be required as State archives.

State archive

A State record that the State Records Authority of New South Wales has control of under the *State Records Act, 1998 (NSW)*.