



## INFORMATION MANAGEMENT POLICY

Approved By: Council  
Doc Controller: General Manager  
File: 126

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### 1. PURPOSE

The purpose of this policy is to provide guidance on effective Records Management to be applied within Council. It covers the creation and maintenance of authentic, reliable and useable records, the storage of information and records, and the clarity of staff responsibilities.

Derwent Valley Council is committed to establishing and maintaining Records Management practices that meet its business needs, accountability requirements and stakeholder expectations.

The benefits of compliance with this policy will be trusted information and records that are well described, stored in known locations and accessible to staff when needed.

### 2. SCOPE

This policy applies to the management and maintenance of records through their lifecycle from creation, receipt or capture, to preservation and disposal under the provision of the *Archives Act 1983*. It includes records in any format held in the Council's information systems. This policy covers the work practices of staff and consultants who:

- Create information
- Access information
- Have responsibility for information including storage, retrieval, dissemination and disposal
- Have management responsibilities for officers engaged in any of these activities
- Manage or have design input into information technology infrastructure.

The key distinction between Council records and other types of information is that records provide evidence of business activities. Records exist in a variety of formats including, but not limited to paper documents, electronic messages, word processed letters, web-pages, information in databases, photographs, film, charts etc.

Regardless of format, records must be created, captured, maintained, secured and disposed of in accordance with the requirements of this Policy.

### 3. LEGISLATION

*Archives Act 1983*

*Corporations Act 2001*

*Crimes Act 1924*

*Electronic Transactions Act 2000*

*Evidence Act 2001*

*Financial Management Act 1990 and Audit Act 2008*

*Financial Transaction Reports Act 1988*

*Income Tax Assessment Act 1997*

*Limitations Act 1974*



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*Local Government Act 1993*

*Personal Information Protection Act 2004*

*Right to Information Act 2009*

*State Service Act 2000*

### 4. DEFINITIONS

Term	Definition
Business Classification Scheme	A hierarchical model of the relationship between the Council's functions, activities and transactions. It provides the core foundation for the development of the Council's recordkeeping tools including a retention and disposal schedule.
Destruction Authority	A once-off authorisation from the State Archivist that permits destruction for a defined set of records.
Disposal	Involves either the destruction of records; their transfer to the Tasmanian Archive & Heritage Office for retention as part of the State archives; their transfer to another custodian; or some other process approved by the State Archivist which removes them from the custody of the Council.
Metadata	Data that describes the context, content and structure of records and their management through time. Record Information created, received and maintained as evidence and information by an organisation or person, in the pursuance of legal obligations or in the transaction of business. ( <i>Source: International Standard ISO 15489 – 2002, Records Management, Part 1: General, Clause 3.15</i> )
Retention and Disposal Schedule	An ongoing authorisation from the State Archivist that specifies minimum retention periods and consequent disposal actions for a defined set of records.
State archive	State record or any other record which is deposited and preserved permanently in the Tasmanian Archive & Heritage Office.
State records	Records of State government agencies/departments, State authorities, or local authorities. These public bodies are defined in Section 3 of the <i>Archives Act 1983</i> .

### 5. POLICY

#### Objectives

A good Information Management Policy will enable the Council to:

- Align with its operating environment, strategic direction, policy framework, and recordkeeping program;
- Have the policy endorsed and actively supported and resourced by the Council;
- Communicate to all staff Council's commitment to Records Management and staff recordkeeping responsibilities;
- Promote a corporate culture of good recordkeeping practice;



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- Outline how records should be made and kept, including requirements for authorised disposal;
- Formalise intentions and practices with respect to records management;
- Ensure compliance with information standards and legal requirements such as the *Archives Act 1983* to make and keep full and accurate records of the business of the Council;
- Ensure compliance with the needs of the government (administrative, financial and accountability) and the community;
- Decrease the level of risk associated with recordkeeping practices;
- Encourage ethical behaviour;
- Be implemented and communicated regularly across the whole Council

### Requirements

#### Creation and maintenance of records

Business records must be created and captured by everyone subject to this policy. Business records should provide a reliable and accurate account of business decisions and actions. Therefore, it is necessary to include all necessary information to support business needs including the names, dates and time, and other key information needed to capture the business context.

Records can be folders, documents or data created, received or maintained as evidence and information of work done for or on behalf of the Council. Records may be either hard copy or electronic. Examples of the Council's records include (but are not limited to):

- Agendas, minutes and papers
- Complaint correspondence
- Contracts and agreements
- Correspondence received from members of the public, private and public sector organisations that require action
- Documents related to events organised with or for external organisations
- Facilities hire forms and documentation
- Media releases and articles
- Personnel recruitment and appointment documentation
- Policies and guidelines
- Reports and submissions
- Risk management registers and documentation
- Training program documentation
- WorkCover documents and files

Ultimately, if the record contains a business transaction or evidence of any decision that has been made on behalf of the Council it must be kept for the required time as per an approved Retention and Disposal Schedule authorised by the State Archivist. Where no Retention and Disposal Schedule exists for the records they must be retained until such a time as they can be either destroyed according to a Destruction



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Authority authorised by the State Archivist, or transferred to the Tasmanian Archive & Heritage Office as State archives.

### Records that do not have to be kept

Some records do not belong in the Council's recordkeeping system, including:

- External advertising material
- Externally published newsletters that do not contain material created by or referencing the Council
- Internal e-mails received by "carbon copy" (cc) or "blind carbon copy" (bcc)
- Junk e-mail
- Personal items including e-mail
- Rough notes, working papers and calculations used solely to assist in the preparation of other records such as correspondence, non-auditable reports and statistical tabulations
- Copies of any documents, preserved solely for reference
- Published material preserved solely for reference
- Electronic revisions of documents in the Council's recordkeeping system which can be purged/deleted when finalising documents

Documents of this nature may be destroyed, as defined by the Tasmanian Archive & Heritage Office Retention and Disposal Schedule for short-term value records (DA2158).

### Systems used to maintain records

Records generated within the Council in the course of normal business practice or received from an external source are to be registered and captured in the Council's recordkeeping system.

The following business and administrative databases and software applications are endorsed for the capture and storage of specific information and records. These include:

- Information and records management system – Civica,
- Business & Finance systems – Civica, Authority, Exponare

These endorsed systems appropriately support information and records management processes such as creation and capture, storage, protection of integrity and authenticity, security, access and retention, destruction and transfer.

Corporate records must not be maintained in email folders, shared folders, personal drives or external storage media as these lack the necessary functionality to protect business information and records over time. Records created when using social media applications or mobile devices may need to be captured into an endorsed system.

### Access to records



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Information is a corporate resource which all staff may have access, except where the nature of the information requires restriction. Access restrictions should not be imposed unnecessarily but should protect:

- individual staff, or client privacy
- sensitive material such as security classified or material with dissemination limiting markings, for example any records information security classified 'Commercial in Confidence' or above

### Retention or destruction of records

In accordance with our obligations under the *Right to Information Act 2009* access to publicly available information will be provided on Councils website. The public have legislative rights to apply for access to information held by our organisation under the *Right to Information Act 2009*. This applies to all information held by the Council, whether in officially endorsed records management systems or in personal stores such as email folders or shared and personal drives. Responses to applications for access under Right to Information legislation are the responsibility of the General Manager or Delegated Officer.

### Retention or destruction of records

Council records are destroyed when they reach the end of their required retention period set out in Records Retention and Disposal Schedules issued by the Tasmanian Archive and Heritage Office (TAHO). Retention periods in disposal schedules take into account all business, legal and government requirements for the records.

Derwent Valley Council uses a number of general and Council-specific schedules to determine retention, transfer and destruction actions for its records.

Records cannot be disposed of other than in accordance with all relevant Retention and Disposal Schedules and Destruction Authorities authorised by the State Archivist. In addition to this, records cannot be disposed of without the approval of Records Officer and the General Manager.

Some records can be destroyed in the normal course of business. These are records of a short-term, facilitative or transitory value that are destroyed as short term value records. Examples of such records include rough working notes, drafts not needed for future use or copies of records held for reference.

Central to the Council's accountability process is the requirement it maintains a Register of Records Destroyed. This is the Council's formal evidential record of destruction and must be retained permanently by the Council. The Register must be clearly identified as the Register of Records Destroyed under Section 20(2)(b) of the *Archives Act 1983*.

### Transfer of records

At times certain records may be required to be transferred out of the custody of Derwent Valley Council. This occurs when records of archival value are no longer being actively used and/or are 25 years or older. In this Derwent Valley Council transfers them to TAHO. We are still able to access records if a subsequent need arises to consult records in TAHO's custody.



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Another instance where records may be transferred is when records are affected by administrative change and are transferred to an inheriting Council or to a private body. In either case, permission must be sought from TAHO before the records are transferred.

### Monitoring the records management program

The records management program will be monitored for breaches of this Policy by the General Manager who will facilitate training as required. Day-to-day records management audit activities will be coordinated by the Records Officer.

### **6. RELATED DOCUMENTS**

DVC-PRO-021 Record Control & Review Procedure  
DVC-PRO-021.1 Records Management Flow Chart  
DVC-PRO-021.2 Records Management process for Records Officer Flow Chart  
DVC-PRO-021.3 Disaster Preparedness and Recovery Plan  
DVC-REG-006 Register of Records Destroyed  
Retention Schedules and Destruction Authorities