

Attachment 1 – Implementation of Records Strategy

Table – Records Management Strategy Implementation Plan

Action	Due date	Comments
Maintain senior management 'buy-in' to improving records management, and the designation of a senior manager to be responsible for records management	N/A – complete	Acknowledged as already in place at time of adoption of Strategy. Records management falls under the responsibilities of the Manager Corporate Services, reporting directly to the Director Corporate and Community Services.
Maintain a Records Management function (to manage all Council records), with clearly defined responsibilities and links to other Information Governance functions eg <i>Government Information (Public Access) Act 2009</i> , State Records, Information and Privacy Commission.	N/A – complete	Acknowledged as already in place at time of adoption of Strategy. Records Management function, including links to other Information Governance functions, falls under responsibilities of the Manager Corporate Services.
Maintain procedures and metadata (descriptive and technical documentation) to ensure the authenticity and evidential value of records held in electronic form.	N/A – complete	Acknowledged as complete at time of adopting Records Management Strategy
Maintain secure storage arrangements for information and documents, while allowing access by authorised personnel	N/A –complete	Acknowledged as complete at time of adoption of Strategy.
Maintain systems to determine any access restrictions at the point of records creation	N/A – complete (ongoing)	Acknowledged as complete (ongoing issue) at time of adoption of Strategy.
Maintain policies and procedures to address the particular requirements of Government Information legislation in relation to agreed publication schemes and meeting requests for information by the public	N/A – complete (ongoing)	Policies and procedures due for review 2024.
Establish a records management strategy with processes for ongoing monitoring and review.	15 October 2020	Records Management Strategy adopted 19 November 2020. Complete.
Manage implementation of the records management strategy, including provision of advice on records management, establishment of good practice guidelines and of compliance with relevant legislation.	15 October 2020	Implementation of Records Strategy commenced with adoption of Strategy 19 November 2020.

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Review existing records management practices to establish what needs to be done to comply with the State Records Act 1998 (NSW)	15 October 2020	Practices reviewed as part of response to the Office of Local Government s430 Report. Complete.
Provide an appropriate competency framework to identify the knowledge, skills and corporate competencies required for records and information management.	16 October 2020	Competency included in position descriptions for Team Leader Customer Service Coonabarabran and Customer Service Officers. Complete.
Review and maintain procedures for the continuous monitoring of the records management process to ensure that legal and statutory requirements are met and new types of records have a lifecycle determined at the point of creation.	15 October 2020	Records Management Procedures updated and endorsed August 2020. Complete.
Review and maintain policies and procedures to protect records from unauthorised alteration or erasure, to ensure that access to records is properly controlled, and to maintain adequate audit trails to track the use and location of records held.	15 October 2020	Policies and procedures (both Strategic and Management) endorsed and adopted. Complete.
Provide guidance on 'back-up', archiving processes and audit trails for electronic records, as well as on measures to prolong their access and use for as long as required, including migration across systems and onto different types of media	15 October 2020	Guidance available from Manager Corporate Services and Team Leader Customer Service Coonabarabran. Regular communication given to staff via newsletter and Managers/ Supervisors meetings. Information also contained in policies and procedures. Complete.
Review and ensure that standards for the safe and secure transportation of records are strictly applied especially when transported by users	15 October 2020	Standards reviewed. To be incorporated into procedure (items above). 7/5/21 – Next review of procedure due before September 2022.
Maintain inclusion of records management and information issues and practices in induction training programmes for all new staff.	16 October 2020	Corporate Services staff provide induction training for new staff using Council's electronic records management system.

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Develop guidance on good practice with the aim of establishing common and consistent standards of record creation and record keeping within Council, considering current Government Information legislation.	16 October 2020	The style guide for Council's electronic records management system (infoXpert) provides guidance on common and consistent standards of record creation and record keeping within WSC.
Identify all records vital to the continuing functioning of the activities of Council in the event of disaster and make provision for their protection (to be cross-referenced with Council's Risk Management Policy and Business Continuity Plan)	16 October 2020	Business Continuity Plan (BCP) sub-plans, including Records, endorsed for 2021 review of the BCP.
Provide contacts through which the Records Officer can aid and support departments, and provide better co-ordination of record keeping across Council. Individual Departments to nominate local records managers.	30 October 2020	The position of Records Officer has been removed from the WSC organisational structure; however, the Manager Corporate Services and Team Leader Customer Service Coonabarabran are available to support departments with record keeping activities. Ongoing activity.
Provide Councillors and staff with procedures for good practice, and advice on procedural issues and requirements. These instructions should cover all records management systems within Council, information quality and security, data protection, information handling, and legislative and statutory requirements	30 October 2020	Policies and procedures adopted and circulated. Complete.
Establish standards for records management performance (eg response to GIPA requests, record keeping, availability etc) and monitor the performance of the function	31 October 2020	These items covered by other steps including policy, procedures. Continual monitoring ongoing.
Undertake an inventory of all Council records held in either hard copy or electronic formats. (This is to ensure that all record collections/information sets are identified along with the volume of records held, the type of media on which they are held, their physical condition, their location, the environmental conditions in which they are stored and the responsible manager	30 April 2021	Commencement of this project has been delayed due to lack of available staff and recruitment process taking longer than anticipated. Scheduled for commencement the week after the Easter 2021 break (week starting 5 April 2021). 7/05/21 – First stage of inventory complete.

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Establish a system for managing records' appraisal and for recording the disposal decisions made.	30 April 2021	On track. 7/05/21 – Using Excel to compile inventory, cross-check retention schedules against GA39, and record decisions about disposal. Files recorded in Council's electronic records management system.
Assess the risks associated with the destruction of records or any delay in appraising them.	30 April 2021	On track – risk assessment to be considered when drafting procedure (above). 7/05/21 – this step will be done before 30 June 2021 as part of the project to take an inventory of records and appraise for retention/disposal.
Whilst electronic records are subject to the same creation, appraisal, retention and disposal process as paper records, develop guidance as appropriate to consider the particular technical requirements of electronic media	30 April 2021	On track – guidance to be developed and incorporated into procedure (above). 7/05/21 – this step will be done before 30 June 2021 as part of the project to take an inventory of records and appraise for retention/disposal.
Undertake regular reviews and analysis of records management training needs, at least yearly.	20 May 2021	On track
Allocate appropriate resources across Council to enable the maintenance of the records management function within resource constraints.	20 May 2021	2021/22 budget in development
Plan resource requirements to take account of the volume and nature of the records due for appraisal.	20 May 2021	Corporate Services budget 2021/22
Produce Council records retention schedules consistent with the Retention and Disposal schedules detailed in the State Records 'General Retention and Disposal Authority: Local Government Records'	31 May 2021	On track

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Develop a selection policy to identify which records are likely to be suitable for permanent preservation. Establish contact with an approved archival institution with appropriate storage and public access facilities	31 May 2021	On track 7/05/21 – This will be formalised before 30 June 2021 as part of the project to take an inventory of records and appraise for retention/disposal.
Establish procedures for the closure of records when no longer current, secure storage of archived records, and effective disposal, as soon as appropriate	31 May 2021	Formal procedure to be drafted, incorporating use of contractor to securely dispose of records in accordance with the Act.
Identify a secure and confidential method for the disposal of records, and organise its implementation.	31 May 2021	As above – part of procedure.
Reduce the duplication of records to improve information sharing, reduce cost and save space	30 June 2021	Audit of records commencing April 2021
Establish and maintain a log of records which have been destroyed showing their reference, description and date of destruction.	30 June 2021	As above – part of procedure.
Develop training programs and materials, including instruction on the concepts and basics of records management to be targeted at new and existing staff who need a basic awareness of the issues and procedures and those who need more detailed instruction on records management policies and procedures	30 June 2021	On track
Provide specific training and instruction on Government Information legislation	30 June 2021	Subject to availability and budget; may be provided in the 2021/22 financial year.
Maintain appropriate storage accommodation for active paper records secure from fire, flood and theft, which is also secure and safe from unauthorised access	N/A – ongoing	Ongoing issue. Reassessment of future needs by 30 November 2021.

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Organise the relocation of paper records into appropriately secure storage when they are no longer required for the conduct of current business, to await disposal and at the same time meeting standards to ensure that no environmental damage is caused whilst also providing security and having strictly controlled access for authorised personnel only	N/A – ongoing	Ongoing issue – refer appropriate storage accommodation item above.
Maintain appropriate protocols for the exchange of confidential and personal information	N/A – ongoing	Ongoing issue – policies and guidelines, including Records Management and Code of Conduct regularly reviewed.
Review and maintain a full and tested contingency or business recovery plan.	N/A – ongoing	Ongoing issue. BCP sub-plans endorsed for 2021 review of BCP.
Maintain effective tracking systems and audit trails, ensuring that information can be retrieved effectively and speedily when required.	N/A – ongoing	Ongoing issue, evidenced by use of corporate software (infoXpert) to create workflows, which are maintained within infoXpert; and promotion of the infoXpert style guide to assist with records being entered in such a way to make them easily retrievable.
Raise the profile of records management within Council through publicity about the issues involved and the staff responsible.	N/A – ongoing	Acknowledged at adoption of Strategy that regular internal communications have been implemented from July 2020. This is an ongoing issue.