

<b>Title</b>	<b>Records Management</b>
<b>Policy Number</b> (Governance Purpose)	



## Policy Type

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Council

## Policy Purpose

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The purpose of this policy is to provide guidance and direction on the creation and management of records and to clarify responsibilities for recordkeeping within the City of Cockburn.

This policy and related recordkeeping procedures/guidelines are the framework for ensuring records are created and retained appropriately to meet accountability requirements, legislative compliance and adherence to best practice standards.

## Policy Statement

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Records are recognised as an important information resource within the City of Cockburn, and it is accepted that sound records management practices will contribute to the overall efficiency and effectiveness of the organisation.

The effective management of records will also:

- Protect the interests of the City of Cockburn and the rights of its employees, customers and stakeholders
- Support informed decision making
- Provide evidence of achievements
- Increase efficiency in administration and service delivery across the organisation

### (1) Ownership

All records created or received during the course of business belong to the City of Cockburn not to the individuals who created them.

All contractual arrangements will ensure the City's ownership of records.

### (2) Creation of Records

All employees, contractors and elected members will ensure that full and accurate records are created to provide evidence of business transactions and decisions and that these records will be registered in the City of Cockburn's recordkeeping system.

### (3) Capture and Control of Records

All records created and received in the course of City business will be captured at the point of creation (wherever possible), regardless of format, with required metadata into the recordkeeping system or appropriate business system.

<b>Title</b>	<b>Records Management</b>
<b>Policy Number</b> (Governance Purpose)	



Records created when using social media applications will also be captured in the City of Cockburn's recordkeeping system.

Records will not be maintained in email folders, shared drives, personal drives, external storage media or personal cloud services (such as Dropbox, OneDrive, Box, Google Drive), as these lack the necessary functionality to protect business information and records over time.

(4) Security and Protection of Records

Records will be maintained in a safe and secure environment ensuring their usability, reliability, authenticity and preservation for as long as they are needed.

Records will not be removed from the City's sites unless in accordance with the approved retention and disposal schedule, they are being transferred to the City's archive storage provider, or they are in the custody of an officer performing official business. It is preferred that wherever possible only copies of records are removed by those officers performing official business.

(5) Access to Records

Access to the City's records by staff and contractors will be in accordance with designated access and security classifications and in accordance with the requirements of their role.

Access to the City's records by the general public will be in accordance with the Local Government Act 1995 and the Freedom of Information Act 1992.

Access to the City's records by Elected Members will be via the Chief Executive Officer in accordance with the Local Government Act 1995.

(6) Appraisal, Retention and Disposal of Records

All records kept by the City of Cockburn will be disposed of in accordance with the General Disposal Authority for Local Government Records, published by the State Records Commission of Western Australia.

Records identified for destruction will be subject to review and approval by the Records Manager or Senior Records Officer, the Manager of the business unit the records relate to, and the Chief Executive Officer.

(7) Roles and Responsibilities

1. *Elected Members*

Elected Members will create and keep records of communications or transactions which convey information relating to the City's business or functions. These records will be forwarded to the Elected Members Personal Assistant for capture into the City's recordkeeping system. Refer to the Elected Members Recordkeeping Guidelines for detailed procedures.

2. *Chief Executive Officer*

<b>Title</b>	<b>Records Management</b>
<b>Policy Number</b> (Governance Purpose)	



The Chief Executive Officer will ensure there is a system for the capture and management of records that is compliant with the State Records Act 2000 and best practice standards.

### 3. *Executive and Managers*

Executive and managers will ensure that all staff (and contractors) under their supervision comply with this policy, associated records management procedures/guidelines and the City of Cockburn's Recordkeeping Plan.

### 4. *All Staff*

All staff (including contractors) will create and receive records relating to the business activities they perform and are required to:

- (a) Make records to document and support business activities.
- (b) Ensure that records are captured and registered into the recordkeeping system or appropriate business system
- (c) Ensure that records are secure at all times.

Refer to the Employees Recordkeeping Guidelines for detailed procedures.

## (8) Legislation and Standards

Legislation and standards applicable to recordkeeping in Western Australian Local Government organisations include:

1. State Records Act 2000
2. Corruption and Crime Commission Act 2003
3. Criminal Code Compilation Act 1913
4. Electronic Transactions Act 2011
5. Evidence Act 1906
6. Freedom of Information Act 1992
7. Interpretation Act 1984
8. Local Government Act 1995
9. State Records Commission: Principles and Standards
10. Australian Standard on Records Management: AS ISO 15489

## (9) Definitions

### 1. *Record*

A record is information recorded in any form that is created, received and maintained by an organisation in the course of conducting its business activities and kept as evidence of such activity.

A record may have any or all of the following attributes:

- (a) Information which is of evidentiary or historical value and is not recorded elsewhere;
- (b) Formal communications and/or transactions between officers or between an officer and another party; or

<b>Title</b>	<b>Records Management</b>
<b>Policy Number</b> (Governance Purpose)	



(c) It may document the rationale behind organisational policy, decisions or directives.

2. *Ephemeral Records*

Ephemeral records are duplicated records and/or those that have only short-term value to the City of Cockburn, with little or no ongoing administrative, legal, fiscal, evidential or historical value. They may include insignificant drafts and rough notes, or records of routine enquiries.

3. *Recordkeeping Plan*

The Recordkeeping Plan ensures that records are created, managed and maintained over time and disposed in accordance with legislation. It is the primary means of providing evidence of compliance with the State Records Act 2000. All government organisations must have a Recordkeeping Plan that is approved by the State Records Commission.

4. *General Disposal Authority (GDA)*

The General Disposal Authority for Local Government records (the schedule) is designed to provide consistency throughout Local Government in disposal activities and decisions. It is a continuing authority for the disposal and archival of records which document a Local Government's operations.

Strategic Link:	City of Cockburn Recordkeeping Plan
Category	Governance
Lead Business Unit:	Records Services
Public Consultation: (Yes or No)	No
Adoption Date: (Governance Purpose Only)	13 December 2018
Next Review Due: (Governance Purpose Only)	December 2020
ECM Doc Set ID: (Governance Purpose Only)	4521606