

POL	RECORDS MANAGEMENT	SC57
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POLICY CODE:	SC57
DIRECTORATE:	Finance & Corporate Services
BUSINESS UNIT:	Information Services
SERVICE UNIT:	Records Services
RESPONSIBLE OFFICER:	Records Manager
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OCM:	

BACKGROUND:

Under the State Records Act 2000 and associated principles and standards approved by the State Records Commission of Western Australia, the City of Cockburn is required to have a recordkeeping policy in place that is authorised at an appropriate level, promulgated throughout the organisation and available to all employees.

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

The effective management of corporate records also:

- Protects the interests of the City of Cockburn and the rights of its employees, customers and stakeholders
- Supports informed decision making
- Provides evidence of achievements
- Increases efficiency in administration and service delivery across the organisation

This policy replaces the City of Cockburn Records Management Position Statement PSFCS19.

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PURPOSE:

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.

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.

POLICY

(1) Definitions

1. *A Record*

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

2. *Government Record*

Records created or received by a government organisation or government organisation employee in the course of their duties regardless of whether the communication is between staff within the same agency, between different agencies, or between public officers and members of the community (both private and business).

3. *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.

4. *Significant Records*

Significant records contain information which is of administrative, legal, fiscal, evidential or historical value. They describe an issue, record who was involved, record why a decision was made, and may include actual guidelines.

5. *Vital Records*

Vital records are records which are essential to the continued business of the City of Cockburn. Vital records include those that protect the rights of individuals and the organisation, and are absolutely essential for the City's reconstruction in the event of a disaster.

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6. *Non-Records*

Non-records are documents that are generally available in the public domain and do not form part of a business process with respect to the City's activities. They are generally used for reference and information purposes, such as reports or plans from another organisation, a published directory, or a training manual of a third party.

7. *Recordkeeping Plan*

The Recordkeeping Plan ensures that records are created, managed and maintained over time and disposed in accordance with principles and standards issued by the State Records Commission. It is the primary means of providing evidence of compliance with the State Records Act 2000, and that best practices have been implemented within the organisation.

8. *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.

(2) Ownership

All records created during the course of business belong to the City of Cockburn by virtue of their possession, not to the individuals who created such records during their time as a public officer at the City of Cockburn. Staff who acquire or create any records in the course of business shall not retain proprietary interest. Ownership of these records is vested in the City.

(3) Creation of Records

Complete and accurate records of all business decisions and transactions are to be recorded and registered in the City of Cockburn's records management system to meet legislative, business, administrative, financial, evidential and historical requirements. They are to be managed in a cost-effective manner in accordance with the City of Cockburn's Recordkeeping Plan.

(4) Capture and Control of Records

All records created and received in the course of City business are to be captured at the point of creation, regardless of format, with required metadata, into appropriate recordkeeping and business systems, which are managed in accordance with sound recordkeeping principles.

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

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All records are to be managed according to whether they are *significant* or *ephemeral* records, *vital* or *non-vital* records, and in accordance with their security classifications.

All contractual arrangements are to ensure the City's ownership of significant records.

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.

(5) Security and Protection of Records

All records are to be categorised as to their level of sensitivity and adequately secured and protected from violation, unauthorised access or destruction, and kept in accordance with necessary retrieval, preservation and storage requirements.

Any records in the possession of individual staff are to be registered to them and depending upon security classification, kept accessible.

Records are not to be removed from the City's sites unless in accordance with the approved retention and disposal schedule, being transferred to the City's archive storage provider, or 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.

(6) Access to Records

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

(7) 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 are 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.

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(8) Roles and Responsibilities

1. *Elected Members*

Elected Members must create and keep records of communications or transactions which convey information relating to the City's business or functions. These records should 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*

The Chief Executive Officer is to ensure there is an organisational system for the capture and management of records that is compliant with legislative requirements and best practice standards.

3. *Executive and Managers*

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

4. *All Staff*

All staff (including contractors) must create, collect and retain records relating to the business activities they perform for the City of Cockburn. They are to identify vital, significant and ephemeral records, ensuring that vital and significant records are captured into the recordkeeping system, and that all records are handled in a manner compliant with legislation and the City of Cockburn's policy and procedures for recordkeeping. Refer to the Employees Recordkeeping Guidelines for detailed procedures.

5. *Records Services*

Records Services staff are responsible for assisting with the development of records and information management policies, providing advice about records management practices and providing a records management service that complies with the City of Cockburn's records management policy and procedures and documented WA State Records Office requirements.

(9) Statutory Obligations

The primary legislation relating to the keeping of public records is the State Records Act 2000.

Other legislation applicable to the proper management of the City's records includes:

- Corruption and Crime Commission Act 2003
- Criminal Code Act 1913

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- Electronic Transactions Act 2011
- Evidence Act 1906
- Financial Management Act 2006
- Freedom of Information Act 1992
- Limitation Act 1935 and Limitation Act 2005
- Local Government Act 1995
- Public Sector Management Act 1994