

# Records Management

<b>Policy Type: Operational Policy</b> <b>Policy Owner: Chief Information Officer</b>	<b>Policy No.: OP- 015</b> <b>Last Review Date: 18 July 2023</b>
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## Policy Objectives

To ensure that the City meets the statutory requirements of the State Records Act 2000; and to provide information management principles that identify and protect the City's information of continuing value.

## Policy Scope

All elected members, staff and contractors are responsible for maintaining complete, accurate and reliable evidence of all business transactions and ensuring all corporate documents are retained within the organisations record keeping system, at the point of creation and regardless of format or media type.

## DEFINITIONS / ABBREVIATIONS USED IN POLICY

### 1. Access

Access to corporate record by officers will be in accordance with designated access and security classifications.

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.

### 2. Destruction

The Information Management Project Analyst will dispose of records kept by the City of Melville in accordance with the General Disposal Authority for Local Government Records 2015-001/1 (Published by the State Records Commission of Western Australia, 2017), following authorisation from the Chief Executive Officer or their delegate.

### 3. Ephemeral Records

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

### 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.

### 5. Government Record

A record created or received by a government organisation or a government organisation employee in the course of their work for the organisation.

**6. Information Management**

Is the service area within the Corporate Services section of the City of Melville responsible for the management of records and archives.

**7. Record**

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

**8. Record Keeping Plan (RKP)**

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

**9. Significant Records**

Significant records contain information, which is of administrative, legal, fiscal, evidential or historical value and are not recorded elsewhere on the public record. They describe an issue, record who was involved, why a decision was made, and may include actual guidelines.

**10. State Record**

A parliamentary or government record which is to be retained permanently.

**11. Vital Records**

Vital records are records, which are essential to the continued business of the City of Melville.

Vital records include those that protect the rights of the individual and the organisation and are absolutely essential for reconstruction in the event of a disaster.

## Policy Statement

The City of Melville's corporate records are to be managed in accordance with the City's Record Keeping Plan.

Records are recognised as an important information resource in the City of Melville, and it is accepted that sound record management practices will contribute to the overall efficiency and effectiveness of the City of Melville. Due to legislative requirements, the City of Melville is obliged to maintain a records management system that completely, accurately and reliably creates and maintains evidential records, and to dispose of those records only through an approved scheme.

- (a) 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 classification.
- (b) All communications in the form of records, whether paper or electronic, and whether internal or external, are to be captured within the appropriate record keeping system.
- (c) Registers are to be maintained of all records series and special categories, including but not limited to, registers of policies, databases, FOI applications, assets, tenders and quotations, forms, vital records, files and contracts.
- (d) All contractual arrangements are to ensure the City of Melville's ownership of significant records.
- (e) Any records / files in the possession of individual staff are to be registered to them and, dependent upon security classification, kept accessible.
- (f) Only approved record formats are to be used in effecting the City of Melville's business.
- (g) All records within record keeping series maintained by the City of Melville are to be disposed of in accordance with the State Records Office's general disposal schedule for local government records; and
- (h) Records are not to be removed from the City of Melville's sites unless in accordance with the approved retention and disposal schedule, or in the custody of an officer performing official business.

## **ROLES AND RESPONSIBILITIES**

### **Elected Members**

Elected Members records which properly and adequately record the performance of member functions arising from their participation in the decision-making processes of Council and Committees of Council must be created and kept.

This requirement should be met through the creation and retention of records of meetings of Council and Committees of the City of Melville, and other communications and transactions of elected members which constitute evidence affecting the accountability of the City and the discharge of its business.

### **Chief Executive Officer**

In accordance with section 5.41 of the Local Government Act 1995, the Chief Executive Officer is to *“Ensure that records and documents of the local government are properly kept for the purpose of this act and any other written law.”*

### **Directors, Executive and Operational Managers**

All directors and managers are to ensure that their staff and contractors comply with this policy to manage the records under their control. They are also to ensure that all new staff are inducted as to their record keeping responsibilities.

### **All Staff**

All staff (including contractors and Elected Members) are to create, collect and retain records relating to business activities they perform for the City of Melville. They are to identify significant and ephemeral records, ensuring that the significant records are captured into the record keeping system, and that all records are handled in a manner compliant with legislation and the City of Melville’s policies and procedures for record keeping.

### **Information Management**

Information Management staff are responsible for providing a records management service which complies with the City of Melville’s records management policy and procedures, and legislative requirements and best practice standards.

Information Management staff are also responsible for ensuring that only authorised disposal of records occur in accordance with the General Disposal Authority (GDA) for Local Government.

## STATUTORY OBLIGATIONS

The legislative requirements relating to the keeping of public records and managing of records is primarily contained in the State Records Act 2000 (previously sections 22-23 of the Library Board Act of Western Australia).

In accordance with Section 19 of the State Records Act 2000, the City of Melville has adopted a Record Keeping Plan that has been approved by the State Records Commission.

Other legislation impacting on records management includes but is not limited to the:

- Evidence Act 1906
- Limitation Act 1935
- Freedom of Information 1992
- Local Government Act 1995
- Financial and Administration and Audit Act 1985
- Criminal Code 1913 (section 85)
- Electronic Transactions Act 2000
- Privacy Act 2001
- Crimes Act 1914

### Other References that may be applicable to this Policy

Legislative Requirements:	State Records Act 2000
Delegated Authority:	DA-003C – Destruction of Records
Plan / Policy / Framework:	Record Keeping Plan 2019
Procedure:	SP-020 Records Management Procedure
Work Instructions / Process Maps:	Information Management Work Instructions ECM Work Instructions
Forms / Supporting Documents (internal):	
Supporting Documents (external):	

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**Origin/Authority**

Executive Leadership Team

Enter date of meeting here

**Reviews**

Enterprise Information Coordinator

18 July 2023