

Records Management Policy

POL-IMT-01



1. Objective

The City of Mandurah (the City) is committed to ensuring that its recordkeeping functions are undertaken to ensure that business transactions and activities are created and managed in a manner that is compliant, relevant, reliable and accurate.

The purpose of this policy is to ensure the City meets its statutory obligations consistent with the *State Records Act 2000* and operationalises legislative requirements into management practice. It articulates the principles of records management function and the approach to effective management of records.

2. Applicability

This policy is binding on all City of Mandurah Elected Members, employees and contractors.

2.1 Elected Members

All Elected Members are to create and maintain records relating to their role as a Council Member for City of Mandurah in line with legislation and State Government policies and procedures for the management of records. Political and personal records of Elected Members are exempt.

2.3 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".

2.4 Management (Directors, Executive Managers, Managers)

Management are to ensure that all employees under their supervision comply with this policy and associated records management procedures and the City's Recordkeeping Plan. Management is to ensure that all new staff attend all induction to their record keeping responsibilities and training sessions.

2.5 All Employees

All employees (including all staff, contractors, trainees, apprentices, cadets, interns, consultants, volunteers) are to create, collect and retain records relating to business activities they perform, including to:

- a) 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 City of Mandurah's practices and procedures for record keeping.
- b) Ensure that only authorised disposal of records occur in accordance with the General Retention and Disposal Authority (GRDA) for Local Government.

2.6 Information Management Unit

The Information Management Unit is responsible for providing a records management service which complies with the City's records keeping plan, policy and procedures, and WA State Records Office requirements.

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3. Policy Statement

This policy establishes the City's position in relation to suitable definitions, accessibility to records, destruction of records, management of ephemeral records and training.

Records are recognised as an important information resource for the City of Mandurah, and it is accepted that sound records management practices will contribute to the overall efficiency and effectiveness of City of Mandurah. Due to legislative requirements, City of Mandurah 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.

This policy applies to all external and internal records, which are handled, received or generated by City of Mandurah, regardless of their physical format or media type.

4. Details

Elected Members, employees and contractors of the City will create full and accurate records, in the appropriate format, of the City's business decisions and transactions to meet all legislative, business, administrative, financial, evidential and historical requirements.

4.1 Creation and Categorisation

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

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 the necessary retrieval, preservation and storage requirements.

4.2 Maintaining Records

All records, which are made or received by City of Mandurah or an individual staff member during the course of City of Mandurah's business, are corporately owned by City of Mandurah. Therefore, are subject to the record keeping practices and procedures of City of Mandurah.

Registers are to be maintained of all records series and special categories, including by not limited to, registers of policies, assets, tenders and quotations, forms, vital records, files and contracts.

Records are not to be removed from City of Mandurah unless in accordance with the approved retention and disposal schedule, or in the custody of an officer performing official business.

4.3 Access to Records

Access to corporate records by Elected Members and Committee Members will be via the Chief Executive Officer in accordance with Section 5.92 of the *Local Government Act 1995*.

Access to corporate records by employees and contractors will be in accordance with designated access and security classifications.

Access to corporate records by the general public will be in accordance with the *Freedom of Information Act 1992*.

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4.4 Disposal and Destruction

The Coordinator Information Management will dispose of all corporate records in accordance with the General Disposal Authority for Local Government Records and/or the General Retention and Disposal Authority for Source Records, following authorisation from the Chief Executive Officer.

4.5 Ephemeral Records

Ephemeral records may not be required to be placed within the City's official recordkeeping systems. Elected Members, employees or contractors may dispose of such ephemeral records once reference ceases.

4.6 Training

The Coordinator Information Management will make available training in relation to record keeping compliance, record keeping practices, policies and the records management system. Ongoing training and assistance is available upon request.

Elected Members will receive training as part of induction and ongoing support from the Information Management Unit.

DEFINITIONS

Corporate Record

Means any hard-copy, digital or online record that meets one or more of the following criteria:

- a. It conveys information essential or relevant in decision-making processes.
- b. It conveys information upon which others will, or may, use to make decisions affecting the City's operations, rights and obligations under legislation.
- c. It commits the City to certain courses of action, the commitment of resources or provision of services.
- d. It conveys information about matters of public safety or public interest, or involves information upon which contractual undertakings are entered into.
- e. The information is likely to be needed for future use, or is of historical value.

Ephemeral Records

Means any record that has no continuing value to the City, including duplicated records and/or those that have only short-term value with little or no on-going administrative, fiscal, legal, evidential or historical value. The City uses the guidelines contained within the *General Disposal Authority for Local Government Records* to determine which records are considered ephemeral.

General Retention and Disposal Authority

Means the General Retention and Disposal Authority DA-2023-005 for Local Government records (*the schedule*). It is designed to provide consistency throughout Local Governments in disposal activities and decisions. It is a continuing authority for

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the disposal and archival of records which document a Local Government's operations.

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.

Record

Recorded information in any form, including data in computer systems, created or received and maintained by an organisation or person in the transaction of business and kept as evidence of such activity.

Record Keeping Plan

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.

Records Disposal

Disposal is by way of depositing records in the State Archives, managing the records as designated by State Archives, or by destruction in accordance with policy.

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 a topic, record who was involved, why a decision was made, and may include actual guidelines.

State Record

A parliamentary or government record.

Vital Records

Vital records are essential to the continued business of City of Mandurah. 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.

Legislative Context

The *State Records Act 2000 Act* (the Act) has specific provisions relating to the responsibility to create, manage and dispose of records in accordance with principles and standards issues by the State Records Commission.

In accordance with Section 19 of the Act, the City will ensure it endorses and maintains a Record Keeping Plan approved by the State Records Commission.

All Elected Members, employees and contractors are responsible for maintaining complete, accurate and reliable evidence of all business transactions, and ensuring all corporate records are retained within the City's official recordkeeping systems at the point of creation, regardless of the format, being in accordance with the following:

- *Criminal Code Act 1913*
- *Electronic Transactions Act 2011*
- *Evidence Act 1906*
- *Financial Management Act 2006*
- *Freedom of Information Act 1992*
- *Limitations Act 2005*
- *Local Government Act 1995*

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Review

At a minimum, this Council Policy will be reviewed every two years or every five years in line with Record Keeping Plan reviews.

Related Documents

These documents are mandatory and required to give effect to this policy:

City of Mandurah Record Keeping Plan

Responsible Directorate:	Place and Community
Responsible Department:	Information Management Unit
Reviewer:	Coordinator Information Management
Creation date and reference:	21 September 2004 Minute G.28/9/04
Last Review:	22 February 2022, Minute G.5/2/22 Desktop review 22/4/24

Amendments			
Version #	Council Approval Date, Reference	Date Document In force	Date Document Ceased
2	Minute G.26/03/07	20 March 2007	14 December 2009
3	Minute G.43/12/09	15 December 2009	27 February 2012
4	Minute G.57/2/12	28 February 2012	23 February 2015
5	Minute G.35/2/15	24 February 2015	22 July 2019
6	Minute G.12/7/19	23 July 2019	22 February 2022
7	Minutes G.5/2/22	22 February 2022	-
8	22/4/24 CEO Approved – update reference to “General Disposal Authority” to “General Retention and Disposal Authority”.	22 April 24	