

## **Objective**

To:

- (a) provide guidance and direction on the principles that support the City's recordkeeping functions.
- (b) define the record keeping responsibilities of all Elected Members, employees and contractors who create and receive records as part of their duties at the City.
- (c) ensure the City complies with the State Records Act 2000, State Records Principles and Standards 2002, Freedom of Information Act 1992 and Australian Standard International Organisation for Standardisation (ISO) 9001.
- (d) establish a framework for the reliable and systematic management of City records in accordance with legislative and best practice standards.

## **Scope**

Under current records related legislation including the *State Records Act 2000*, *State Records Principles and Standards 2002*, *Freedom of Information Act 1992* and the accredited *Australian Standard International Organisation for Standardisation (ISO) 9001*, the City is required to provide and maintain a recordkeeping system that is dedicated to the creation, retrieval and control of the City's records. The system must ensure that the City's records accurately and adequately capture the records of its functions and operations and contribute towards informed decision-making of the City.

This Policy outlines the requirement of Principle 2 – Policies and Procedures of the *State Records Principles and Standards 2002* for a government organisation and takes into account the standards for the making and keeping of proper and adequate records

This Policy applies to all records, which are created or received by the City of Armadale, regardless of their format, date of creation or storage location. This Policy applies to all Elected Members, employees including temporary/agency employees and contractors of the City of Armadale.

## **Policy Definitions**

**Record** – is defined as meaning “any record of information however recorded” and includes

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- (a) Anything on which this is writing or Braille
- (b) A map, plan, diagram or graph
- (c) A drawing, pictorial or graphic work or photograph
- (d) Anything on which there are figures, marks, perforations or symbols having meaning for persons qualified to interpret them
- (e) Anything from which images, sounds or writings can be reproduced with or without the aid of anything else, and
- (f) Anything on which information has been stored or recorded, mechanically or magnetically or electronically.

**EDRMS** – means Electronic Document Records Management System software system used to manage document content and records.

## **Policy**

The City must ensure that its recordkeeping system is compliant with legislative requirements. The system should be reliable, systematic and well managed and consistent with the City's Recordkeeping Plan, Council Policy and operational procedures.

All Elected Members, employees and contractors shall ensure capture of complete and accurate records of all business decisions and transactions at the time of or as soon as practicable after the event to which they relate in the City's Electronic Records Management System (EDRMS). The City's records are a corporate asset recognised as an important information resource retained and managed to meet the requirements of the City's Recordkeeping Plan.

Ownership and proprietary interest of records created or collected during the course of business (including those from outsourced bodies or contractors) is vested in the City of Armadale.

## **Recordkeeping Principles**

The following principles, procedures and processes will be followed to ensure the effective management of records:

### **(a) Creation of Complete and Accurate 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 registered into the City of Armadale's EDRMS which provides one source of truth.

All recordkeeping practices are carried out in compliance with the applicable legislation including *State Records Act 2000*, *State Records Principles and Standards 2002*, *Freedom of Information Act 1992* and *Australian Standard International Organisation for Standardisation (ISO) 9001*.

### **(b) Control of Records**

All corporate records, regardless of format, created and received in the course of the City's business will be captured at the point of creation with required metadata standards into the City's EDRMS or other approved business system.

### **(c) Security and Protection**

Records will be maintained and managed in a safe and secure environment ensuring their usability, reliability, authenticity and preservation in line with State Records Office Standards.

The City's EDRMS allows for security to be applied, amended or removed and restricting access based on the employees position and their role. The security and protection of a container is based on Access controls and security groups. Internal

Policies and procedures are in place to ensure they protect the interests of the City of Armadale and the rights of its employees, customers and stakeholders.

Hardcopy archival records are stored offsite at a location that has protected systems and adequate security to reduce the risk of any damage and the supplier conforms to Australian Standard AS 4390-6-1996 in relation to secure/confidential records management storage.

**(d) Access to Records**

Access to the City’s records will be in accordance with designated access and security classifications as determined by the Chief Executive Officer and as administered by the Coordinator Records.

Access to the City’s records by Elected Members will be through the Chief Executive Officer (CEO) in accordance with the *Local Government Act 1995*, sections 5.41 and 5.92.

Inspection of the City’s records by Contractors, third parties and the general public will be in accordance with the *Local Government Act 1995* Section 5.94 and the *Freedom of Information Act 1992*.

**(e) Retention and Disposal of Records**

All records kept by the City will be disposed of in accordance with the General Disposal Authority for Local Government Records GDALG (RD2015001) approved by State Records Commission.

**(f) Record Keeping Plan**

The City’s Record Keeping Plan will be reviewed no less than every five (5) years.

**Applicable legislation**

Act	<i>State Records Act 2000</i> <i>Local Government Act 1995</i> <i>Freedom of Information Act 1992</i> <i>Electronic Transactions Act 1992</i> <i>Financial Administration and Audit Act 1985</i> <i>Finance Management Act 2006</i> <i>Evidence Act 1996</i> <i>Public Sector Act 1994</i> <i>Criminal Code 1913 (Section 85)</i>
Regulation	Australian Standard International Organisation for Standardisation (ISO) 9001 SRC Recordkeeping Standards
Local law	N/A
Related Policy	N/A

**Delegation of Power**

Yes

### **Link to influencing strategies or plans**

This policy is related to the Corporate Business Plan

Strategy 4.1.2.2 Implement the Better Business Review

Strategy 4.2.1.1 Delivery identified training and development programs for all staff

Strategy 4.2.1.2 – Facilitate the recruitment of high calibre candidates for positions identified in the Workforce Plan

Strategy 4.2.2.2 Implement ICT system Improvements

Strategy 4.3.3.1 Implement the outcomes of the core business systems review

4.4.1.1 – Facilitate improvements to the City’s corporate identity, brand and reputation

4.4.2.2 – Deliver high quality corporate documents, targeted to appropriate audiences

4.4.3.1 – Facilitate greater collaboration between teams within the organisation

### **Link to procedure**

Records procedure index

### **Other implications**

#### *Financial/Budget Implications*

Nil

#### *Asset Management Implications*

Nil

#### *Environmental Implications*

Nil

#### *Occupational Safety and Health Implications*

Nil

### **Administrative information**

Adopted on	17 May 2022 (CS21/5/22)
Reviewed or amended	
Responsible department	Records