

# Policy

## Recordkeeping



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Adopted:	28/10/2015 #011
Last reviewed:	13/12/2017 #054 24/07/2019 #504
Next review date:	2021
Legal Authority:	Local Government Act Section 2.7 – The Role of Council
Directorate:	City Strategy
Department:	Records
Related documents:	<p>Acts/Regulations</p> <p>State Records Act 2000 Freedom of Information Act 1992</p> <p>State Records Principles and Standards 2002</p> <p>Plans/Strategies</p> <p>City of Kwinana Recordkeeping Plan - D16/61667[v2]</p> <p>City of Kwinana Disaster Recovery Plan - D16/65541[v2]</p> <p>Work Instructions</p> <p>City of Kwinana Recordkeeping Operational Guidelines D16/67823[v7]</p> <p>Other documents</p> <p>State Records Principles and Standards 2002</p>

*Note: Changes to References may be made without the need to take the Policy to Council for review.*

## Policy:

### 1. Title

Recordkeeping

## **2. Purpose**

To provide Council's expectations and commitment for recordkeeping of business transactions and official activities of the City of Kwinana in line with legislative requirements.

## **3. 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 Kwinana, regardless of their format, date of creation or storage location. This Policy applies to all employees, Elected Members and contractors of the City of Kwinana.

## **4. Definitions**

Record, as defined by the State Records Act 2000, means any record of information however recorded and includes:

- a) any thing on which there is writing or Braille; and
- b) a map, plan, diagram or graph; and
- c) a drawing, pictorial or graphic work, or photograph; and
- d) any thing on which there are figures, marks, perforations or symbols, having a meaning for persons qualified to interpret them; and
- 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, either mechanically, magnetically, or electronically.

## **5. Policy Statement**

The City's records are a corporate asset and the City is the owner of all records and as such records are not the property of individual employees. Complete and accurate records of all business decisions and transactions are to be recorded in the City's recordkeeping system both in respect to their content and context. The records are to be managed in accordance with the relevant legislation, policies and procedures.

## 5.1 Recordkeeping System

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 Guidelines.

## 5.2 Records Management

### Record creation, capture and control

It is the role and responsibility of all staff and Elected Members to create and capture a full and accurate record of the City's functions and operations into the City's recordkeeping system when applicable. If applicable, once captured in the recordkeeping system, the original documents are to be archived by the Records team.

### Records protection and security

All records are to be managed and adequately protected and stored. The City's 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 Standards (AS) 4390-6-1996 in relation to secure/confidential records management storage.

The recordkeeping system protects records by having the capability of restricting access based on the profile of the employees. Users do not have access to delete records once they have been captured in the system. The City undertakes daily back-ups to protect the records in the system and tests the effectiveness on a routine basis. The security and protection of a container in which a record is stored is based on security caveats and security groups and are in accordance with the Recordkeeping Operational Guidelines.

### Records access

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

Staff and City contractor's access to the City's records will be in accordance with the Recordkeeping Operational Guidelines.

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

## 5.3 Contractual and outsourcing obligations

All contractual arrangements are to ensure the City's ownership of its records. This should be outlined in the Tender documentation and in the City of Kwinana – Terms and Conditions for the Supply of Goods or Services.

#### 5.4 Retention and Disposal actions

All records within the recordkeeping system maintained by the City are to be disposed of in accordance with the State Records Office's General Disposal Authority for Local Government Records (GDALG) RD2015-001.

#### 5.5 Records transfer

Records are only to be transferred according to legislative requirements and the transfer is to be recorded in the recordkeeping system.

### **6. Financial/Budget Implications**

There are no specific financial or budget implications associated with this Policy.

### **7. Asset Management Implications**

There are no specific asset management implications associated with this Policy.

### **8. Environmental Implications**

There are no specific environmental implications associated with this Policy.

### **9. Strategic/Social Implications**

Corporate Business Plan

Objective 5.1 – An active and engaged local government focused on achieving the community's vision.

### **10. Occupational Safety and Health Implications**

There are no specific OSH implications associated with this Policy.

### **11. Risk Assessment**

A risk assessment conducted as part of the Policy review has indicated that the risk to the City by not providing an adequate policy to address the City's record keeping requirements would result in a risk rating of moderate.

It is assessed that the risk rating following the implementation of this policy would result in a risk rating of low.