
City of Greater Geraldton

4.13 RECORD KEEPING

SUSTAINABILITY THEME

Governance

OBJECTIVES

To establish a framework for the City of Greater Geraldton to effectively fulfil its obligations and statutory requirements under the State Records Act. Council has an obligation to maintain official records in its custody in good order and condition. This includes the capture, storage, maintenance and disposal of physical records and also records in electronic format.

POLICY STATEMENT

This policy applies to all Council business and relates to both physical and electronic Council records. It applies to all Council staff, Council Members, contractors and consultants acting on behalf of or employed by the Council.

This policy is required for compliance to State Records Commission Standard 2 Recordkeeping Plans - Principle 2 Policies and Procedures – which states that ‘Government organisations ensure that recordkeeping programs are supported by policy and procedure’.

POLICY DETAILS

1. General

- 1.1. City of Greater Geraldton’s recordkeeping system will support good corporate governance and compliance to legislative requirements and best practice standards.
- 1.2. City of Greater Geraldton staff are required to comply with legislative and administrative requirements to create, manage, protect and make accessible records that properly and adequately document the performance of the City’s business functions.
- 1.3. Ownership of any record received or created by an employee of City of Greater Geraldton in the course of their work for the City resides with the City and not the individual.
- 1.4. City Records have installed Keyword for Councils as the structured framework and thesaurus for file creation.
- 1.5. This policy applies regardless of a record’s format or where it was received.

2. Which Records Should Be Captured?

YES – forward to your local government administration	NO – you do not need to be forwarded to your local government
<p>Communications from ratepayers, such as:</p> <ul style="list-style-type: none"> • complaints & compliments; • correspondence concerning corporate matters; • submissions, petitions & lobbying; • Information for Council’s interest relating to local government business activity & functions. 	<p>Duplicate copies – of Council meeting agenda, minutes & papers.</p>
<p>Telephone, meetings & other verbal conversations – between an elected member and another party, regarding local government projects or business activities.</p>	<p>Draft documents or working papers – which are already captured at the local government.</p>
<p>Work diaries – containing information that may be significant to the conduct of the elected member on behalf of the local government.</p>	<p>Publications – such as newsletters, circulars and journals.</p>
<p>Presentations and speeches –delivered as part of an elected member’s official duties.</p>	<p>Invitations – to community events where an elected member is <i>not</i> representing Council or the local government.</p>
	<p>Telephone, meetings & other verbal conversations which:</p> <ul style="list-style-type: none"> • convey routine information only; or • do not relate to local government business or functions.
	<p>Electioneering – or party political information.</p>
	<p>Personal records – not related to an elected member’s official duties.</p>

3. Sanctions

3.1. State Records Act: Offences - “A government organisation employee who does not keep a government record in accordance with the Record Keeping Plan of the organisation commits an offence”.

Penalty \$10,000

KEY TERM DEFINITIONS

City means the City of Greater Geraldton.

Record means any record of information however recorded and includes- anything on which there is writing, a map, plan, diagram or graph, a drawing, pictorial or graphic work, photograph; or anything from which images, sounds or writings can be reproduced.

Official Record is a record made or received by the Council / Elected Members in the conduct of its business. An official record may be paper-based and / or electronic. An official record may be held off-site.

Capture involves the management of official records in some form of logical sequence, which may be ensured by any of the following:

- classification and indexing, which allow appropriate linking, grouping, naming, security protection, user permissions and retrieval, disposition and identifying vital records;
- arrangement in a logical structure and sequence, whether a physical file or electronic directory, which facilitates subsequent user and reference;
- registration which provides evidence of the existence of records in a records system; and
- systems which profile or template the actions undertaken in business.

Disposal is the destruction of a record; the carrying out of any process that makes it impossible to reproduce the information in a record; the transferring or delivering ownership or possession of a record; or the selling of a record.

Digitisation means the process of converting records in an analogue format (source record) to a digital format

General Disposal Authority for Local Government – DA 2015-001 is the General Disposal Authority for Local Government Records compiled by State Records Office. It applies to the disposal of all records. This is irrespective of format or media and created/ received by any Local Government Authorities in West Australia. The City of Greater Geraldton uses this method of classification for disposal of records.

General Disposal Authority for Source Records – RD2016002 is the General Disposal Authority for Source Records. It applies to disposal (legal destruction) of physical format (source records) that have been successfully reproduced (digitized). The City of Greater Geraldton uses this method of classification for disposal of source records which have been reproduced.

EDRMS refers to the City's electronic document records management system, currently Records Manager 8

ROLES AND RESPONSIBILITIES

The Manager ICT Services is responsible for implementing this policy.

WORKPLACE INFORMATION

State Records Act 2000

State Records Principles and Standards

Adopted CGG Record Keeping Plan

General Disposal Authority for Local Government – DA 2015-001

General Disposal Authority for Source Records – RD 2016002

Record Keeping Policy and Procedure Manual

Keyword for Councils - A Thesaurus of Local Government Terms

DRAFT

POLICY ADMINISTRATION

Directorate		Officer	Review Cycle	Next Due
Corporate and Commercial Services		Manager ICT Services	Biennial	2019
Version	Decision Reference	Synopsis		
1.	CCS231 – 24 January 2017	CP013 EXISTING POLICY transferred to new template		
2.	CCSXXX – XX XXX XXXX	Reviewed and updated to coincide with the review of CGG Record Keeping Plan 2017-2022		