City of Stonnington

Records Management Policy

Version	5.0
Date	17/08/2020
Prepared For	City of Stonnington
Author	Stephen Hyde

Document Review

Version	Details	Date
0.4	Approved by EMT - Policy endorsed subject to minor amendments	22/05/2012
1.0	Author Luke Hesketh - Updated with input from EMT. V0.5 approved by EMT and uploaded to intranet.	22/05/2012
1.1	Author George Panopoulos – Review and update. Also known as V0.6	1/10/2013
2.0	Author Karen Castellas – Formatting and minor references	1/08/2015
3.0	Author Stephen Hyde – Review and update	9/04/2018
4.0	Author Stephen Hyde – Review and update	10/01/2020
5.0	Author Stephen Hyde – Review and update	17/08/2020

Document Authorisation

City of Stonnington	
Manager	Greg Curcio
Signed	
Date	

City of Stonnington
Records Management Policy
Table of Contents

1 Purpose

This policy aims to establish a framework for the creation and management of authentic, reliable and usable records, regardless of format, to support the business and to ensure the City of Stonnington (Council) complies with the Public Record Office Victoria (PROV) Standards. Council is committed to introducing and maintaining records management practices that meet its business needs, accountability requirements and stakeholder and community expectations.

This policy aims to ensure the following is understood:

- Employees at Council have an obligation to identify and keep records of business conducted including records created or received as part of daily work (Corporate Records);

- Employees are required to capture records into the approved records management system (currently Content Manager 9.1.2) or an approved business system;

- All Council employees are to ensure records are accurate, authentic, reliable, and maintained;

- Records created are covered by legislation and provide proof of activities and evidence of business; and

- Records have many purposes other than the original intent and these are often not evident at the time of creation.

2 Definitions

Term	Definition
Capture	A deliberate action, which results in the registration of a record into a records management system. The process includes registering a document or record, deciding which class it is to be classified to in a business classification scheme, adding further metadata to it, and storing it in the system, e.g. an electronic document and records management system.
Corporate Records	Records are created, received and used in the conduct of business activities. To support the continuing conduct of business, comply with the regulatory environment, and provide necessary accountability, organisations should create and maintain authentic and useable records, and protect the integrity of those records for as long as required.
Document (noun)	Recorded information or object that can be treated as a unit. A document may be on paper, microform, magnetic or any other electronic medium. It may include any combination of text, data, graphics, sound, moving pictures or any other forms of information. The term 'documents' includes maps, films, microfiche, photographs, tape recordings, video tapes and computer printouts. Documents become records.
Document management	The management and control of documents with emphasis on their dynamic and transactional nature including indexing and retrieval, revision and version control, work flow and information content.

Term	Definition
EDRMS	Electronic Document and Records Management System. A system with the functionality of a document management and records management system combined in one system. Sometimes referred to as a Content Management System.
Ephemeral Records	Documents classed as a record but have a limited useful lifespan. They include routine tasks or activities (telephone messages, reminders, etc) which normally have no value after the event and therefore need not be retained on a corporate file.
Information management	Information management describes the means by which an organisation efficiently plans, collects, creates, organises, uses, controls, disseminates and disposes of its information, both documents deemed as records and information.
Information systems	Ways of providing human-readable information to users such that it is relevant to their business objectives.
Line-of-Business Application	A general term which often refers to a set of one or more highly related products which service a particular customer transaction or business need e.g. Avanti.
Metadata	Data describing context, content and structure of records and their management through time.
Normal Administrative Practice (NAP)	NAP is the concept in which documents can be destroyed according to 'normal administrative practices'. This provides for the routine destruction of drafts, duplicates and publications, with the test it is obvious no information of continuing value to the organisation will be destroyed. Material which can be disposed of under NAP comprises items of an ephemeral or transitory nature. NAP falls into six main groups: • Transitory or short term items, e.g. phone messages, notes, compliment slips, office notices and circulars; • Rough working papers and/or calculations created in the preparation of official records; • Drafts not intended for further use or reference, excluding official version drafts of agreements, submissions and legal documents; • Duplicate copies of material retained for reference purposes only; • Published material which does not form an integral part of an agency record; and • System printouts used to verify or monitor data, or answer ad hoc queries which are not part of regular reporting procedures and not required for ongoing use.

Term	Definition
Permanent Value	Records which have been deemed to have a lasting value to the organisation or community, and therefore should be kept in perpetuity.
Public Record	A public record is any record made or received by a person employed in a public office in the course of his or her duties.
Record	Recorded information in any form, on any medium (paper or electronic) created or received and maintained by an organisation or person in the transaction of business or the conduct of affairs and kept as evidence of such activity.
Recordkeeping	Making and maintaining complete, accurate, reliable evidence of business transactions in the form of recorded information.
Recordkeeping Framework	The policy, strategy, and stakeholder engagement model that addresses the needs of records management across an agency. The framework is derived from legislation, regulation (including Public Records Office Victoria Standards), industry standards and government strategies, policies and directives
Recordkeeping System (RKS)	Refers to the system used to register, record and house business information.
Records Management	Field of management responsible for the efficient and systematic control of the creation, receipt, maintenance, use and disposition of records, including processes for capturing and maintaining evidence of and information about business activities and transactions in the form of records.
Retention and Disposal Authority (RDA)	A formal instrument that defines the retention periods and consequent disposal actions authorised for classes of records which are described in the schedule. Official disposal authorities have been created/endorsed by the Public Record Office Victoria (PROV).
Victorian Electronic Records Strategy (VERS)	A strategy designed to assist agencies in managing electronic records and provide a framework within which it is possible to capture and archive electronic records into a long-term format that is not dependant on a particular computer system.
VERS Encapsulated Object (VEO)	This object contains contextual information about the record or a folder and may also contain document files, image files, sound files, movie files, etc. The VEO is signed using digital signature technology to ensure integrity.

3 Policy Statement

Stonnington City Council is committed to managing records and information as an organisational function to meet operational business needs, accountability requirements, community expectations and legislative and regulatory requirements.

Records will be managed and maintained in accordance with this Policy and associated procedures. Therefore, it is the responsibility of all Councillors, Council employees, contractors, third party providers or any other persons employed or engaged by the Council in the conduct of Council's official business, to:

- Understand their roles and responsibilities in relation to the management and ownership of Council records.
- Create Council records of decisions and actions.
- Ensure Council records are managed within the approved record management system (Content Manager).
- Manage any ongoing activity related to records.
- Control access to Council records when required and protect the privacy of individuals in relation to personal information contained within records.
- Protect records from damage by ensuring they are appropriately secured and stored.
- Manage retention and destruction of records.

3.1 Authority of this Policy

This Policy is issued under the authority of the Chief Executive Officer (CEO) of the City of Stonnington and will be reviewed and amended in consultation with Directors, Managers and other council employees.

Under delegated authority, the ownership and responsibility for the implementation of this Policy rests with the General Manager Corporate Services.

The Coordinator Corporate Information as "*Responsible Officer*" for this Policy will be required to perform the following functions in relation to the policy:

- Provide a point of contact about the meaning and application of the policy.
- Maintain the currency of the Policy, including regular reviews and updates of the policy.
- Report to the Public Records Office Victoria and to Government regarding compliance with legislative requirements and recordkeeping standards.

4 Scope

City of Stonnington's records are a major component of its corporate memory and as such are a vital asset that support ongoing operations and provide valuable evidence of business activities over time. City of Stonnington is committed to implementing best practice records systems and services to ensure the creation, capture, maintenance and protection of records with appropriate evidential characteristics.

As a Victorian Local Government Agency, City of Stonnington recognises its regulatory recordkeeping requirements under the Public Records Act 1973. It is committed to adhering to and application of the Standards issued the Public Record Office Victoria, and its legislative requirements.

This policy covers all records, regardless of format or point of origin (for example: email, website content, word, excel, etc) created or received by Council and applies to:

- All Councillors

- Council employees including contractor staff (permanent and temporary);

- All contractors (internal and external);

- All external service providers (to the extent provided under contract); and

- All volunteers.

It applies to all active and inactive records and all Council core and administrative functions where records are created, maintained, managed and stored, including internal business systems.

This policy also acknowledges and accedes to the placement of records management within the strategic and policy framework of the organisation.

5 Records Management Systems

In accordance with PROV's Standards and Specifications (PROS 19/04) on operational management of records, all systems which contain Council records must be effectively managed over their life, from acquisition to decommissioning to ensure the system's integrity, reliability and performance quality.

Content Manager is the primary electronic document and records management system and platform for managing both physical and electronic records across Council. The main objectives of this records management system are to ensure that:

- the management of Council's information resources and records provide timely and comprehensive information to meet operational business needs, accountability requirements and community expectations; and
- the preservation of the Council's "corporate memory" through sound recordkeeping practices and the accurate capture of information to meet legal, evidential and accountability requirements.

However, there are other recordkeeping systems such as property, personnel, payroll databases, financial systems and customer request management systems where important Council records are stored and managed for various business functions. Therefore, to ensure compliance with this Policy, any Council business system that captures records must be capable of managing the following processes as a minimum requirement:

- Be capable of collecting all information required for the activity that is it should be fit for purpose.
- Be capable of capturing content, structure and context of the record.
- Provide adequate storage of records.
- Provide protection of record integrity and authenticity.
- Ensure the security of records.
- Be readily accessible to all staff who need to use the records contained within the system.
- Undertake the disposal of records in accordance with approved disposal authorities.
- Ensure the recoverability of records in the event of a disaster.

The following applications have the required functionality for records management purposes and records may be captured into these applications:

- TechOne Property and Rates;
- TechOne Finance; and
- ePlanning.

The following 'systems/tools' do not provide adequate records management functionality and are not to be used to store public records:

- Local hard copy systems not controlled by Council's approved records management system such as manila and lever arch folders etc;

- Email folders;

- Local computer drives;

- Portable storage devices;

- Social networks such as intranet and internet content, blogs, twitter, SMS etc; and

- Shared (network) drives.

6 Records Management Roles and Responsibilities

6.1 Chief Executive Officer

In accordance with Section 13 of the *Public Records Act 1973*, Council's Chief Executive Officer:

"...shall be responsible, with the advice and assistance of the Keeper of Public Records, for the carrying out within the office of a programme of records management in accordance with the standards established under section 12 by the Keeper of Public Records..." *(Section 13(b)).*

6.2 Councillors and Support Staff

All Councillors and support staff should comply with Council's Record Management Policy and keep full and accurate records of their activities, including records of all decisions and actions made in the course of their official business.

6.3 Director Engagement and Innovation

The Director Engagement and Innovation is responsible for the development and implementation (via delegation) of agency wide records management strategies and plans.

6.4 Directors and Managers

All of Council's Directors and Managers are accountable and responsible for supporting the application and compliance of Council's Records Management Policies and Procedures. Specifically, Directors and Managers must ensure their divisions have adequate resourcing to undertake records management activities in accordance with this Records Management Policy

6.5 Coordinators and Team Leaders

Coordinators and Team Leaders are accountable and responsible for ensuring that full and accurate records of business activities are created, captured and kept in approved records management systems. Coordinators and Team Leaders are also responsible for ensuring staff under their supervision understand and comply with Council's Records Management Policies and Procedures.

6.6 Coordinator Corporate Information

The Coordinator of the Corporate Information Management is responsible for implementing and maintaining all aspects of the records management program, including maintenance of records systems and their operations as well as training and education of all employees. Responsibilities include:

- Ensuring records are accurate, authentic, reliable and captured into an approved recordkeeping system;

- Monitoring staff and systems to ensure their compliance to the Records Management Policy and Procedures;

- Regular review of Records Management Policy, Procedures, Processes and Business Rules in accordance with PROV standards;

- Management of Council's archival program;

- Education and training of Council staff in records management principles, procedures and/or systems to promote compliance and awareness of responsibilities; and

- Managing any outsourced services related to records management.

6.7 Business Systems and Technology

The Business Systems and Technology is responsible for maintaining the technology used to support systems which capture and keep records electronically ensuring all documents and records are reliable, available and accessible to employees when required.

6.8 Contracts and Procurement

The Contracts and Procurement Unit is responsible for record keeping clauses within contracts for the records of outsourced service provision.

6.9 External Service Providers

Where external service providers are engaged and the records generated as a result of the service providers' actions are deemed to be the property of the Council, the service provider shall undertake records management activities in accordance with the requirements of the contractual agreement between the parties and this Records Management Policy.

6.10 All Council employees (and contractors)

All Council employees and contractors have a responsibility to create, capture and manage appropriately complete and accurate records of Council's business, including records of decisions made, actions taken and transactions of daily business in accordance with Council's Records Management Program, Policy, Procedures and Processes.

6.11 Volunteers

If volunteers have access to corporate records, they shall create, receive, capture and manage such records in accordance with Council's Records Management Policy, Procedures and Processes.

7 Policy Directives

1. Information received or created by Council and its employees as part of their duties shall be treated as official records.

2. Records must be created to provide evidence of business transactions, statutory decisions and the reasons for statutory decisions to uphold accountability requirements.

3. Recordkeeping practices should form part of normal business processes. New systems should be designed to incorporate the capture, retrieval, maintenance, retention and disposal of records.

4. Records should be captured into a recordkeeping system at the earliest possible time to provide suitable access and controls.

5. Records should not be retained within the recordkeeping system if they are only ephemeral in nature, having no medium or long term value. All corporate records of ephemeral value must only be disposed of in accordance with Normal Administrative Practice (NAP) – refer to Public Records Office Standard 19/04.

6. Suitable security should be applied to all records.

7. Records should be retained in a format that meets business and legal requirements. Permanent value records must be stored in a format that will allow the creation of a Victorian Electronic Records Strategy Encapsulated Object (VEO), prior to its future transfer to the PROV.

8. Records must be retained for the minimum required period as per approved Retention and Disposal Authorities (RDA).

9. Recordkeeping practices must be monitored for compliance with procedures and standards.

10. A consistent approach to recordkeeping shall be taken across all Council business units.

11. All records shall be destroyed in a timely manner according to PROV standards.

12. All records shall be stored in the most cost effective manner with consideration given to the security and retention values of the record.

13. Vital Records shall be identified and protected in accordance with the requirements of Council's Vital Records Program.

14. If Council or part thereof is amalgamated, divided, sold, privatised or a function is outsourced, consideration must be given to recordkeeping issues as per the PROV Strategic Management Standard 19/03.

15. Consideration shall be given to ownership, handling and treatment of records when composing contracts.

16. Regardless of format, corporate records must be captured into an approved recordkeeping system.

17. Information or records held by Council must comply with Privacy legislation.

18. Authentication and audit processes shall be used throughout the life of the recordkeeping database and approved business systems to ensure the data integrity.

19. Databases that are used to store records must be easily accessible over time to all authorised employees who require access for business purposes, refer to VERS Standard – 99/007 (Version 2).

20. Suitable recordkeeping mechanisms are put into place to assist in achieving environmental policy, objectives and targets when-ever possible.

8 Communication

This policy is to be made available to the Chief Executive Officer,Directors, Managers, Coordinators and Team Leaders, permanent and contract staff, and volunteers., through one or more of the following methods:

- Induction training;
- Records management procedural training;
- Records management system (CM9) training;
- Intranet;
- Business unit meetings;
- Newsletters;
- Emails; and
- Referenced in Procedures.

9 Penalties and Exemptions

Adherence to the Records Management Policy is a mandatory requirement for all Council employees including the Chief Executive Officer, Directors, Managers, Coordinators and Team Leaders, permanent and contract staff, and volunteers. Deliberate or repeated failure to adhere to this policy may result in disciplinary action.

10 Review

The Director Engagement and Innovation and Corporate Information Coordinator shall review and update (if required) this Records Management Policy every two (2) years, or earlier if required.

11 Related Policies and Procedures

- Digitisation Plan
- Vital Records Plan
- Destruction of Council Records Procedure
- Destruction Procedure

12 Legislation and Standards

Council is committed to developing and maintaining records systems that capture and maintain records in accordance with the requirements of the following legislative Acts and Australian Standards (listed alphabetically - not an exhaustive list):

Reference Type	Reference Number	Reference Description
Legislation	N/A	*Building Act 1993*
	N/A	*Crimes Act 1958 section 254 and 255*
	N/A	*Electronic Transactions (Victoria) Act 2000*
	N/A	*Evidence Act 2008*
	N/A	*Evidence Miscellaneous Act 1958 section 89A*
	N/A	*Food Act 1984*
	N/A	*Freedom of Information Act 1982*
	N/A	*Health Records Act 2001*
	N/A	*Local Government Act 1989*
	N/A	*Occupational Health and Safety Act 2004*
	N/A	*Planning and Environment Act 1987*
	N/A	*Privacy and Data Protection Act 2014*
	N/A	*Privacy and Data Security Act 2014*
	N/A	*Protected Disclosure Act 2012*
	N/A	*Public Health and Wellbeing Act 2008*
	N/A	*Public Records Act 1973*
	N/A	*Road Management Act 2004*
	N/A	*Victorian Civil Procedures Act sections 55A to 55C*
Standard	AS ISO 15489 - Pt 1 - 2002	Australian Standard - Records Management Part 1
	AS ISO 15489 - Pt 2 - 2002	Australian Standard - Records Management Part 2
	PROS 19/03	PROV Recordkeeping Standard – Strategic Management
	PROS 19/04	PROV Recordkeeping Standard - Operations Management Standard
	PROS 19/05	PROV Create Capture and Control Standard
	PROS 19/06	PROV Access Standard
	PROS 10/13	PROV Recordkeeping Standard - Disposal

Reference Type	Reference Number	Reference Description
	VERS Standard 99/007	PROV Recordkeeping Standard - Management of Electronic Records
	HB 328-2009	Australian Standard - Handbook - Mailroom Security
	N/A	Victorian Public Service Code of Conduct

Appendix A - Guidelines

Understanding what documents (including email and social media) should be captured into Content Manager plays an important role in ensuring the organisation retains its corporate memory.

To help decide what should be captured, answering the questions below can assist in this determination. If the answer is yes to any of the following questions then the document must be captured into Content Manager:

Q1.   Does the document approve or authorise actions or expenditure?

Q2.   Does the document relate to Council's official business or include legal advice?

Q3.   Does the document contain information that initiates, continues or completes a Council activity?

Q4.   Does the document detail a policy change or development?

Q5.   Does the document create a precedent e.g. by issuing an instruction or advice?

Q6.   Does the document relate to the substantive business of the Council?

Q7.   Does the document involve negotiations on behalf of the Council?

Q8.   Does the document have value for other people or the work team as a whole?

Q9.   Is the document a significant draft?

To help decide what should not be captured, the questions below will guide this decision. If the answer is yes to any of the following questions then the document should not be captured into Content Manager:

Q1.   Was/is the document to be distributed to a number of staff for information only e.g. news bulletins, circulars, notices of meetings, copies or extracts of documents etc?

Q2.   Was the document created solely as part of preparation for other records?

Q3.   Is the document a personal messages or announcement not related to official business?

What is Corporate Memory?

All records, documents, files, videos, photographs, plans, emails and other data captured to meet the operational business needs, accountability requirements and community expectations of the organisation.

It is the information an organisation needs to keep to meet operational, evidential, legal, ethical and historical requirements. It is the active and historical information that an organisation has that is worth sharing, managing and preserving to enable it to function effectively.

The means by which organisations choose to conduct business transactions invariably involve oral, written and/or electronic communication methods. In all cases the objective is to conduct the business transaction satisfactorily and to maintain a record of what transpired for future reference.

This is a reminder to staff that the need to electronically capture documents is both a business necessity and a legal requirement. It is imperative corporate documents are captured.

Who is responsible for capturing e-mail?

Electronic mail messages which document business activities are corporate records. All staff have a responsibility to follow some simple rules to ensure that they are captured into Content Manager while minimising the capture of duplicate records.

Simple Rules

1. If you create the email you should save it into Content Manager*; and

2. If an email is sent to you from an external source, and you are the first or only recipient name, you should save it into Content Manager.

NOTE: If you know for a fact someone else has not captured the email, you should save it to Content Manager or advise CIMU of its existence and the Records staff will take the appropriate follow up action.

* If you expect responses to an email you are responsible for capturing, you **may** decide to wait until communication on this item ceases and file the final copy with all comments/replies. The decision to delay capture should be based on your assessment of the potential risk the organisation could be exposed to if the email is not captured immediately.

If you have any questions or seek assistance, please contact Corporate Information on extension 1256 or email Records Management Helpdesk.