

1. Policy statement

Council values the significance of its records as a critical asset for the ongoing operations and service provision for the community. Council is committed to creating and maintaining records that fully and accurately reflect business activities that are governed by legislative requirements and standards established by Public Records Office of Victoria (PROV) and the Australian Standard for Records Management, AS ISO 15489-2002. All records generated for or on behalf of Council are the intellectual property of Frankston City Council.

2. Reason for Policy

The purpose of this policy is to;

- Define roles and responsibilities for the creation, management, and disposal of records.
- Ensure full and accurate records of all business activities, including decisions of Council are maintained to support community, business, and legislative requirements.
- Ensure appropriate access and security levels are maintained.
- Ensure corporate records are easily retrieved and accessible now and in the future.

The volume and type of records created, sent, and received by Council with developing technologies has significantly increased. Many records are now in electronic format, including emails, faxes, social media, etc. It is critical to ensure these records are managed consistently in the same manner as the hard copy records.

3. Scope

This policy applies to all records regardless of medium or format, created, received or retained, by any staff member, where they handle information of a Council business nature.

This policy also applies to all Contractors and consultants that handle information of a Council business nature in accordance with their contractual obligations.

4. Authorisation

This Policy is managed by the Governance and Information Department, and is approved by Frankston City's Mayor and Council's Chief Executive Officer (CEO):

Mayor, Frankston City Council

CEO, Frankston City Council

In accordance with Frankston City Council resolution at its Ordinary Council meeting of 6 December 2021.

5. Revision date

This Policy will be reviewed and presented to Council no later than 30 June 2023 or earlier as deemed necessary by Council, and therefore once within each subsequent Council term.

6. Principles

All practices and procedures concerning information and records management are to be in accordance with this policy.

Corporate record keeping systems:

The EDMS is Council's authorised corporate system to capture and manage records, both hardcopy and electronic, regardless of format, however, there are other authorised databases and software applications specific to relevant functions of the Council that are also used to capture records. Please refer to Appendix A for the authorised list of corporate systems.

It is acknowledged that some authorised corporate systems do not comply with records management systems. These systems will be identified and addressed in the Records Management Strategy.

Creation of records

All staff are required to create and maintain full and accurate records which document business activities.

Every document created, sent, or received that relates to Council business is a record, regardless of its format. Records are required to be created;

- To provide evidence of a transaction.
- To defend against possible claims or future legal action.
- To support actions or decisions that has occurred.
- To enable effective and efficient decisions to be made.
- To enable business continuity.

Capture of records

All records must be captured into an authorised corporate system. The electronic document management system (EDMS) is Council's authorised corporate system to capture records, both hardcopy and electronic, and regardless of format. However, there are other authorised databases and software applications specific to relevant functions of the Council.

All staff must manage records, regardless of format, to ensure their authenticity, accuracy, integrity, clarity, and completeness for the longevity of the record.

The following can be utilised for storage of temporary documents or non-corporate records (e.g. conference / training materials, personal work related items such as to do lists, reference material etc.). It is prohibited to store records created, sent, or received as part of council business activities;

- Physical (hard copy) file systems not governed by Information Management team.
- Unauthorised use of shared network drives.

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- Unauthorised use of SharePoint, Teams, or OneDrive.
- Outlook folders.
- Local PC drives.
- Portable storage devices such as usb's, portable hard drives, etc.
- Personal devices such as laptops, iPads, smart phones, portable devices etc.

Note: portable storage devices such as usb's and portable hard drives may be utilised for transporting records to offsite venues and for the retention of non-corporate records, however, is not the preferred transportation method and should only be used as a last resort. These devices must be password protected, and maintained in a safe and secure manner to protect the loss, un-authorised access, misuse, and destruction of the records.

Access and security

Records captured within an authorised corporate system are accessible to all staff unless restricted access is required. The following exceptions to open access apply;

- Where information is commercial in confidence, personal in confidence, or management in confidence.
- Where information is restricted due to legislative or business requirements.

System backup for corporate servers is undertaken on a regular basis as defined by the Information Security Policy. The disaster recovery site provides live back up of corporate systems.

Physical files managed and maintained by the Information Management team are available upon request to authorised staff. The current location of physical files is managed and tracked within the EDMS by way of transferring the custody of the physical file to the relevant staff member who has current possession. It is the responsibility of the staff member to advise Information Management or update the EDMS directly should they transfer the possession of the physical file to another staff member.

Mayor and Councillors do not have direct access to records. In the event that access is required, a written request must be submitted by the Mayor or Councillor to the CEO. The CEO will determine if access is appropriate. If access is considered inappropriate by the CEO, the Mayor or Councillor may request access in accordance with the Freedom of Information Act 1982.

All staff are required to comply with the Information Services Security Guidelines and protect records against loss, corruption of information and unauthorised access. Any potential risk is to be reported immediately to the Coordinator Information Management.

Staff must not disclose or provide access to Council records unless authorised or permitted by legislative requirements (this includes access to Councillors). Where there is a need for records to be accessed, other than publicly available records, the request will be dealt with under the Freedom of Information Act 1982 and/or other relevant legislations. The Coordinator Freedom of Information and Privacy will be responsible for dealing with such requests, in consultation with the relevant business units.

Appraisal and transfer

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The Information Management team is responsible for providing advice on, and coordinating archival requirements for Council. All records captured and maintained must be managed in accordance with the Retention and Disposal Authority for Records of Local Government PROS 09/05 and the General Retention and Disposal Authority for Records of Common Administrative Functions PROS 07/01.

Records must be appraised, prior to departments archiving them, in accordance with the disposal schedules. Once the records are boxed, both the boxes and a list of the contents for each box are to be forwarded to the Information Management team in accordance with the procedures for archiving records.

All records which are appraised for permanent retention in accordance with the PROV Disposal Schedule will be transferred to PROV upon Council determining they are no longer required to be retained.

Records which are appraised as a temporary record in accordance with the PROV Disposal Schedule, and are required to be retained for a specified period of time will be transferred to an offsite storage facility and managed by Information Management until they are destroyed.

Records appraised as a temporary record in accordance with the disposal schedule, and are considered to be of historical value and of interest to the community, may be transferred to the Frankston Historical Society or other approved agencies for preservation, as determined and managed by the Coordinator Information Management.

Storage

Electronic records, including digitised documents, maintained within an authorised corporate system, must be managed and maintained in accordance with the appropriate corporate system requirements, including the mandatory use of the corporate naming convention.

Hardcopy records must be stored and maintained by Information Management or by a department where an authorised process exists.

Disposal

The Information Management team is responsible for coordinating and undertaking the disposal requirements. All corporate documents captured and maintained by Council must be managed in accordance with the Retention and Disposal Authority for Records of Local Government PROS 09/05, the General Retention and Disposal Authority for Records of Common Administrative Functions PROS 07/01, and any other Retention and Disposal Authority associated with council functions.

Records must only be disposed of in accordance with the requirements of the Public Records Act 1973 and any other legislation that impacts an agency's recordkeeping requirements and responsibilities.

Records appraised as a temporary record in accordance with PROV disposal schedules, that no longer have a legislative, business, or community requirement to be retained, are to be destroyed in accordance with the corporate destruction procedures.

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Staff are prohibited from destroying records. All requests for destruction of records must be forwarded to Information Management.

7. Roles and responsibilities

Records management is mandatory, and required of all stakeholders including contractors, volunteers, Trainees, consultants, Mayor and Councillors.

The Chief Executive Officer is responsible for:-

- Carrying out, with the advice and assistance of the Keeper of Public Records, a program of efficient management of public records that is in accordance with all standards issued by the Keeper, in accordance with Section 13b of the Public Records Act 1973.
- Endorsing the Records Management Policy.
- Enforcing compliance with this policy.
- Ensuring policies support the creation and maintenance of full and accurate records of all business functions and activities.
- Ensuring records management policies and procedures meet PROV legislation and standards.
- Ensuring records are not destroyed, removed or inappropriately released without authorisation.

Chief Financial Officer is responsible for:-

- Ensuring appropriate provision of funding and resources are available to support the records management policy and practices.
- Advocating the records management policy.

Executive Management Team is responsible for:-

- Directing operational management to effectively implement the Records Management Policy, standards, and procedures associated with Council's records management program.
- Ensuring policies support the creation and maintenance of full and accurate records of all business functions and activities.
- Ensuring records management compliance and best practice is considered prior to implementing any process improvements, software implementations, or software redundancy.
- Ensuring staff are adequately trained and understand their record keeping obligations.
- Ensuring records are not destroyed, removed or inappropriately released without authorisation.

Manager Governance and Information is responsible for:-

- Advocating the records management policy.
- Managing the funding and resources to support the records management policy and procedures.
- Reporting non-compliance of the records management policy to relevant Manager/s and EMT.
- Ensuring the Coordinator Information Management responsibilities are met.

Manager Business and Information Technology is responsible for:-

- Ensuring corporate information technology systems are maintained with a high level of security, reliability, accessibility and business continuity.
- Ensuring data from redundant systems is managed in accordance with this policy.
- Ensuring integrity of data is not compromised.

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- Developing, implementing and monitoring IT Disaster Recovery Plans for corporate information technology systems.
- Ensuring records management compliance and best practice is considered prior to implementing any process improvements, software implementations, or software redundancy.
- Reporting data security and or integrity breaches to the Manager Governance and Information.
- Ensuring records are not destroyed, removed or inappropriately released without management authorisation.

Manager Business Transformation is responsible for:-

- Ensuring corporate information technology systems are maintained with a high level of security, reliability, accessibility and business continuity.
- Ensuring integrity of data is not compromised.
- Ensuring records management compliance and best practice is considered for all process improvements, software implementations, and software redundancy.
- Reporting data security and or integrity breaches to the Manager Governance and Information.
- Ensuring records are not destroyed, removed or inappropriately released without management authorisation.

Coordinator Information Management is responsible for:-

- Developing, implementing and maintaining the records management policy.
- Developing, implementing and maintaining records management procedures to support the records management policy.
- Communicating records management policies and procedures within Council.
- Providing records management training, support and guidance to staff.
- Ensuring corporate records are appraised and destroyed appropriately.
- Monitoring and auditing compliance with records management systems.
- Reporting non-compliance of the records management policy.

Manager Procurement, Property and Risk is responsible for:-

- Ensuring records management responsibilities are clearly defined and contained within all outsourced service provision contracts.
- Ensuring outsourced service providers understand and comply with their record keeping obligations.

Managers and Coordinators are responsible for:-

- Ensuring staff are aware of, understand, and comply with this policy and any associated standards and procedures.
- Fostering and supporting a culture within their workgroup that promotes good record management practices and aligns with this policy and any associated standards and procedures.
- Assessing and monitoring compliance with this policy and reporting any identified compliance breaches or incidents to the Coordinator Information Management.
- Ensuring any records in the possession of a staff member are returned to Council prior to the departure of a staff member.
- Ensuring tasks outlined on the departure checklist associated with records management are completed prior to the departure of a staff member.
- Ensuring integrity of records is maintained.
- Ensuring records are not destroyed, removed or inappropriately released without management authorisation.

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- Reporting non-compliance of the records management policy to the Manager Governance and Information and the Coordinator Information Management.

All staff are responsible for:-

- Complying with legislation, this policy and any associated standards and procedures.
- Ensuring records are handled respectfully so as not to damage or compromise the integrity.
- Respecting confidentiality of corporate information and the privacy of personal information.
- Preventing unauthorised access to records and information.
- Ensuring records are not destroyed, removed or inappropriately released without management authorisation.
- On ceasing employment with Council, transferring all records in their custody to their Manager or Coordinator.
- Reporting non-compliance of the records management policy to the Manager Governance and Information and the Coordinator Information Management.

8. Policy non-compliance

Non-compliance with this Policy has the potential to significantly damage the reputation and community trust within Council.

Section 254 of the Crimes Act 1958 states an offence relating to the destruction of a document or other object that is reasonably likely to be required in evidence in a legal proceeding. It is important to note that the Act creates this offence in situations where no litigation is actually commenced (it has always been illegal to destroy evidence once a case has actually been launched). This covers circumstances where an individual or organisation destroys documents that may at some future time be needed in evidence, and where this need can and has been, anticipated. The Act specifies penalties for the offence, for both individuals and for corporate entities.

Failure to comply with this Policy will be considered a breach of the Staff Code of Conduct, and be reported to the Executive Management Team for thorough investigation. Disciplinary action could involve verbal or written warnings or, in some instances, dismissal.

9. Legislation and Standards

The following provides an overview of key legislation and standards that apply to the management of information and records within council:

- Public Records Act 1973
- Local Government Act 2020
- Crimes Act 1958
- Evidence Act 2008
- Electronic Transactions (Victoria) Act 2000
- Freedom of Information Act 1982
- Privacy and Data Protection Act 2014
- Health Records Act 2001
- Building Act 1993

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- Planning & Environment Act 1987
- Public Health and Wellbeing Act 2008
- Australian Standard AS ISO 15489.1-2002
- PROV Records Management Standards
- Geographic Information AS/NZS ISO19115-2005
- Civil Procedures Act 2010
- Surveillance Devices Act 1999

10. Related documents

The policy will be fully integrated with records, information and knowledge management policies, strategies and standards; this includes, but is not limited to:

- Staff Code of Conduct (A3602986)
- Occupational Health and Safety Policy (A3015641)
- Information Standard #1 Management of Information within Frankston City Council (A54441)
- Information Standard #2 Document Management within Frankston City Council (A54436)
- Information Standard #3 Email Management within Frankston City Council (A54436)
- Information Standard #4 Records Management within Frankston City Council (A54439)
- Information Standard #5 Archives Management within Frankston City Council (A54445)
- Information Standard #6 Information Sensitivity Classification within Frankston City Council (A54448)
- Information Standard #7 Document Records Management Best Practice Guidelines FCC (A54435)
- Information Standard #9 Digital Image Management within Frankston City Council (A334590)
- Notification of Destruction of Records from Departments Template (A1195745)
- Information Management Procedure for Processing Inwards Correspondence (A3059563)
- Procedures for Boxing and Archiving of Records (A1408652)
- Archive Box Content Form (A3008530)
- Pre Action Digitisation Plan (A1702577)
- Post Action Digitisation Plan (A1702576)
- EDMS Training Manual and User Guide (A941118)
- EDMS Business Rules (A1908313)
- Information Privacy Policy (A482141)
- Information Security Guidelines (A3412168)
- Information Technology Strategy 2019-2022 (A3770888)
- Intranet and KMS Protocol (A3376335)
- Website Protocol (A3376369)
- Digital Strategy 2018-2022 (A3714430)
- Social Media Protocol (A3187123)
- Unreasonable Customer Conduct Protocol (A3415215)
- Feedback Handling Policy (A3456455)
- Conflict of Interest Guidelines (A1120679)
- Protected Disclosure Guidelines for Councillors (A1499797)
- Municipal Emergency Management Plan MEMP (A3843630)
- Disaster Recovery and Continuity Plan

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- Asset Management Policy 2013 (A1470345)
- Fleet Management Policy (A131356)

11. Implementation of the Policy

This Policy (in conjunction with other Related Documents) will be communicated via one or more of the following methods; staff induction, staff meetings, emails, references in procedures, and the provision of access to a copy of the policy to all members / stakeholders, in either hardcopy or electronic form (Intranet).

12. Definitions

PROV is Public Records Office Victoria.

Records Management is a field of management responsible for the efficient and systematic control of the creation, receipt, maintenance, use and disposal of records, including processes for capturing and maintaining evidence of and information about business activities and transactions in the forms of records.

Public Record means any record made or received by an officer in the course of his / her duties.

Record means information created, received, and maintained in any format that documents and provides evidence of the actions, discussions, or decisions of Council.

Documents consist of recorded information or data that can be structured or unstructured and in either physical or electronic format, including correspondence, books, maps, drawings, photographs, DVD, sound track, etc.

Officer implies all Council employees, contractors (including agency staff), volunteers, work experience students, or any other person/s conducting business for or on behalf of the Council.

Capture means a deliberate action which results in the registration of a record into a recordkeeping system. For certain business activities, this action may be designed into electronic systems so that the capture of records is concurrent with the creation of records.

Access means the right, opportunity, means of finding, using, or retrieving information.

Appraisal is the process of evaluating business activities to determine which records need to be captured and how long the records need to be retained, to meet statutory, business, and community expectations.

Destruction is the process of eliminating or deleting records, beyond any possible reconstruction.

EDMS electronic document management system.

MAV is Municipal Association of Victoria.

APPENDIX A: AUTHORISE DATABASES AND SOFTWARE APPLICATIONS

The software applications nominated in this list are approved systems for the retention of data and / or documents in accordance with the records management policy.

Software Name	Description
HPE Content Manager (ReM)	Corporate Document Management System (EDMS) - Manages both physical and electronic records and files
Pathway	Property Information System - Records associated with property management, such as Rates, Valuations, Development Applications, Licensing, Animal Registrations, etc.

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TechnologyOne	Finance System - Records associated with financial management including digitised invoices
InfoCouncil	Minutes and Agenda System – records associated with Council meetings including closed and open council agendas and minutes
Famis	Frankston Asset Management Information System – Records associated with maintaining council assets
Chris21	Human Resource & Payroll System - Records associated with employees, positions, and payroll Note: Staff management records also retained in the EDMS
MyCareer	Recruitment System – records associated with recruitment such as approvals, applications, resumes, interviews, offers, etc.
MyLearning	Learning and Development System – records associated with learning and development, including training modules/materials, attendance records, etc.
MyPerformance	Performance Management System – records associated with staff performance reviews and processes
Nimblex	Risk and Safety Management System – records associated with OH&S including risks, incident reports, claims management, etc.
eBMS	Risk Management System – records associated with raising, managing, and mitigating corporate risks
Open Windows Contract Management	Contract Management System – Records associated with contracts such as tenders, insurances, variations, payment certificates etc. Note: Tender & Contract records also retained in the EDMS
TCM	Aged & Disability Services System – Manages client records for services provided Note: Some client records also retained in the EDMS
IMPS	Immunisation System - Managed by State Government to record immunisation records Note: Immunisation session and consent records retained in the EDMS
CDIS	Maternal & Child Health System - Managed by MAV to record services provided & client notes
Spear	Subdivision Application lodgement System - Managed by State Government to – contains records associated with the subdivision application process. Note: A business rule exists that requires Town Planning to migrate all documents pertaining to an application into the EDMS upon completion of the spear application

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Objectify	Content Management System – Manage the information and content associated with the corporate website
Seamless	Content Management System – Manage the information and content associated with the corporate website
MapInfo – Desktop	Spatial records including aerial photographs
GIS	Geographical Spatial Software
MECC Central	Emergency Management software manages records associated with any emergency such as major flood, fire, etc. within the municipality
Stretrader	Mobile food vendors System - Managed by State Government
Ungerboeck	Advent Based Management System – Records associated with booking and managing public venues and spaces
Point of Sale	Cashier System – Records associated with receipting payments & accounting
Ticketing	Frankston Arts Centre ticket booking and purchase system
Expedite	Kindergarten Services Software
Spydus	Library Management System
SmartyGrants	Grant management for management of funding grants provided by Council
PinForce	Parking Infringement Management Software
VM Online	Valuations software managed by the Valuer General – records associated with valuation of land / property within the municipality including the storage of some building plans

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