Information Management Policy

Aligned City Value/s	Approachable	Responsive	Transparent	Innovative
Responsible Directorate	Office of the Chief Executive Officer			
Responsible Business Unit/s	Governance			
Responsible Officer	Manager Governance			
Affected Business Unit/s	All			

Objective

This policy defines the City's principles in information management, data governance and the roles and responsibilities of those individuals in meeting the statutory requirements of the *State Records Act 2000* **("Act")** and the City of Stirling Recordkeeping Plan **("RKP")**.

This policy provides direction on best practice for record keeping at the City and details its ongoing efforts to modernise, integrate and automate recordkeeping.

Scope

This policy applies to all records created or received in the transaction of City business by Elected Members, City employees and external organisations conducting outsourced services on behalf of the City.

Policy

1.   Creation of Records

A **record** is information or a document that relates to;

- business processes, transactions, or decisions, and
- supports planning or decision making, has historical value or can be used as evidence.

All users are required to create full and accurate records to provide a reliable and accurate account of business decisions and actions.

All records created or received must be captured into the City's recordkeeping systems.

2.   Recordkeeping Systems

The City's primary records management system is the electronic Technology One Enterprise Content Management **("ECM")** system. The City's Relationship Management System (RMS), Salesforce is a line of business system with recordkeeping functionality. Majority of the City's records are held within these two systems.

The City maintains over 220 endorsed business systems that contain data, listed in the Applications Register.

Below are the main business systems used to store data and records:

- Property and Rating System (Including the Customer Request Module – CRM);
- Finance 1;
- Works and Assets;
- Assetic;
- Corporator;
- Open Windows;
- SharePoint;
- SAFER;
- Envibe and;
- Local Drives

Where possible, records captured in the City's business systems are automatically transferred to the City's primary records management systems (ECM) through automation. All incoming physical records are digitized and saved into the City's approved recordkeeping systems and core business systems.

Digitisation standards are outlined in the City's Digitisation Framework.

3. Access to and sharing of information and records

3.1 Internal

Records are a corporate resource to be accessed and used by City employees in line with the City's Employee Code of Conduct and relevant policies.

Access to City records by Elected Members is managed in accordance with Section 5.92 of the *Local Government Act* and the Elected Members Code of Conduct. If requested by the City, Elected Members are to demonstrate to the Chief Executive Officer the relevance of the information to their role. The Chief Executive Officer may determine the manner in which the access is permitted.

When handling and sharing information, individuals are reminded of their obligations under the City of Stirling Codes of Conduct and relevant policies.

3.2 External

Members of the public have legislative rights to apply to update their personal information or for access to information held by the City under the *Freedom of Information Act 1992*. This applies to all information held by the City, whether captured in the records management system or in personal stores such as email folders or shared and personal drives. An application for access under FOI Act is managed by the City's Legal and Integrity Officer.

3.3 Privacy and Responsible Information Sharing (PRIS)

A Privacy and Responsible Information Sharing Bill was submitted to the Parliament of Western Australia in June 2024. The PRIS legislation aims to enhance the privacy and security of personal information for Western Australians while improving government service delivery.

The legislation is expected to be in place in 2025 with action items that include developing specific policies that address privacy, information sharing and data breaches.

4. Retention of Records

City's records are retained in accordance to the time period as set out in General Disposal Authority (GDA) for Local Government Records and General Disposal Authority for Source Records issued by the State Records Commission of Western Australia.

5. Disposal and Destruction

The Manager Governance, Service Lead Compliance, Risk and Information Management, Service Lead

Council and Civic and Coordinator Information Management are authorised to dispose records in accordance with legislative requirements in the GDA.

6. Projects and Data Governance

The City is committed to modernising its approach to recordkeeping and delivering projects that automate, integrate and simplify information management.

The City will continue to innovate and implement projects that support the City's Digital Direction and Data Governance initiatives.

7. Artificial Intelligence (AI) Considerations

The use of AI at the City is primarily to assist with the creation, review and enhancement of records. Any record created will be subjective to the Information Management Policy for appropriate access to, sharing of, retention and disposal.

The City's Generative Artificial Intelligence Policy establishes a framework for the City on the use of AI to ensure ethical, privacy and security implications are managed appropriately whilst leveraging the benefits of AI for the City and its community.

8. Communication and Training

The Information Management team provides system training in ECM and recordkeeping best practice to City employees during corporate induction, data governance workshops as well as ongoing system upskilling.

The Information Management team also provides data governance leadership, awareness and communications to internal and external stakeholders, the Digital Direction Steering Committee and has membership in the City's Corporate Data Governance Groups.

Elected Members recordkeeping responsibilities form part of the Elected Member Induction Manual.

9. Responsibilities

Role	Responsibility
City Employees	Are responsible for the creation, capture and management of information and records.
Elected Members	Are to identify records, that relate to their performance of their role as a Councillor. These records shall be forwarded to the City's administration for capture into its official records management systems.
The Chief Executive Officer (CEO)	Has overarching responsibility for the management of information and records within the City.
Information Management Team	Facilitate and support best practice information management within the City. This includes advising, training and supporting employees; and developing and implementing information management products and systems. The team also monitors compliance and advise senior management on risks associated with non-compliance.
Information Security Officer	Provides support and advice on the secure management of records and information. (CTO) has overarching responsibility for the system performance of the City's core business systems.
Directors, Business Unit Managers,	Are responsible for ensuring that City employees, are aware of and complying with this Policy and supporting procedures, including the City's RKP.

Role	Responsibility
Service Leads and People Leaders	
Executive Team	Endorse changes to the Information Management policy and approve strategic initiatives and projects associated to the modernisation of Information Management.
Council	Approves changes to the Information Management Policy.

Definitions

Business Systems means the organised collections of hardware, software, supplies, policies, procedures and people, which store, process and provide access to data and information.

City Employees refers to any person who works for the City, including those directly employed by the City, contractors and agency staff. This definition covers all individuals who are responsible for creating, managing, and maintaining records in accordance with the State Records Act 2000.

Data is raw information that can be used to create meaningful insights, reference or analysis.

Endorsed Business Systems means the list of Business Systems approved for corporate use. The approved list is available on the Corporate Information Services share-point site.

General Disposal Authority (GDA) for Local Government outlines the length of time different categories of local government records be held and the recommended disposal action.

General Disposal Authority (GDA) for Source Records enables the City to legally destroy source records that have been successfully digitised in accordance with the Digitisation Specification from the State Records Office of Western Australia.

Line of Business Systems can be customised to oversee the entire record lifecycle, from creation through to archival or disposal. These systems play a critical role in achieving recordkeeping compliance by applying robust security measures, retention policies, disposal protocols, and thorough auditing to the records they manage.

Record is information or a document that relates to;

- business processes, transactions, or decisions, and
- supports planning or decision making, has historical value or can be used as evidence.

A record can exist as:
- A Digital Record
- A Physical Record
- An Artefact.

A Digital Record means a record that exists in and is only accessible through technological means. Digital records must be protected through digital security access controls and comprise of all versions and drafts for auditing purposes.

Examples of digital records include:
- Digital correspondence such as emails and instant messages
- Videos, images and pictorial files
- Audio files
- Database records
- Electronic documentation

- Physical records that have undergone digitisation.

A Physical (source) Record means a record that exists physically but can undergo digitisation to become a digital record.

Examples of physical records include:
- Physical documents (mail, correspondence, applications)
- Drawings, pictorial or graphic works; and
- Maps, plans, diagrams or graphs.

An Artefact means a physical record which cannot be digitised as the process will impact the records integrity and authenticity.

Examples of artefacts include:

- Paintings, artwork, sculptures
- Significant historical photographs and maps
- Records which have the City's seal affixed; and
- Any physical object that meets the definition of a record but cannot be digitised.

Recordkeeping is creating and maintaining complete, accurate and reliable evidence of business transactions in the form of recorded information.

Recordkeeping Plan (RKP) governs how government records are created, maintained, destroyed or permanently preserved as State archives.

Records Management Systems means the business systems which capture, maintain and provide access to records in accordance with the *State Records Act 2000*.

State Records Commission means an independent body established under the *State Records Act 2000* to: monitor the operation of, and compliance with, the Act and the government agencies Recordkeeping Plan; inquire into breaches or potential breaches of the Act; and report to Parliament.

Relevant management practices/documents

City of Stirling Recordkeeping Plan 2020-25

City of Stirling Employee Code of Conduct

City of Stirling Elected Members Code of Conduct

Information and Technology Acceptable Use Policy

Media and Communication Policy

Capturing Elected Members' Records Management Practice

State Records Office – Local Government Elected Members' Records Policy

State Records Office – Records Management Advice - Local Government Elected Members' Records

City of Stirling Digitisation Framework

Generative Artificial Intelligence (AI) Policy

Information Handling and Breach Policy

Legislation/local law requirements

State Records Act 2000

Freedom of Information Act 1992

Local Government Act 1995

Evidence Act 1906

Electronic Transactions Act 2011

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Privacy Act 1988

Office use only				
Relevant delegations	Not applicable			
Initial Council adoption	**Date**	8 August 2017	**Resolution #**	0817/013
Last reviewed	**Date**	29 October 2024	**Resolution #**	1024/021
Next review due	**Date**	2026		

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