



AP4 – RECORDS MANAGEMENT POLICY

MANAGEMENT PRACTICE: RECORD KEEPING

DELEGATION: N/A

OBJECTIVE

To ensure that the Shire of Jerramungup meets the statutory requirements of the *State Records Act 2000*.

SCOPE

To provide guidance and direction on the creation and management of records and to clarify responsibilities for recordkeeping within the Shire of Jerramungup.

This policy and related recordkeeping procedures/guidelines are the framework for ensuring records are created and retained appropriately to meet accountability requirements, legislative compliance and adherence to best practice standards.

POLICY STATEMENT

Records are recognised as an important information resource within the Shire of Jerramungup, and it is accepted that sound records management practices will contribute to the overall efficiency and effectiveness of the organisation.

The effective management of records will also:

- Protect the interests of the Shire of Jerramungup and the rights of its employees, customers and stakeholders.
- Support informed decision making.
- Provide evidence of achievements.
- Increase efficiency in administration and service delivery across the organisation.

Ownership

All records created or received during the course of business belong to the Shire of Jerramungup not to the individuals who created them.

All contractual arrangements will ensure the Shire's ownership of records.

Creation of Records

All employees, contractors and elected members will ensure that full and accurate records are created to provide evidence of business transactions and decisions and that these records will be registered in the Shire's recordkeeping system.

Capture and Control of Records

All records created and received in the course of Shire business will be captured at the point of creation (wherever possible), regardless of format, with required metadata into the recordkeeping system or appropriate business system.

Records created when using social media applications will also be captured in the Shire of Jerramungup's recordkeeping system.

Records will not be maintained in email folders, shared drives, personal drives, external storage media or personal cloud services (such as Dropbox, OneDrive, Box, Google Drive), as these lack the necessary functionality to protect business information and records over time.

Security and Protection of Records

Records will be maintained in a safe and secure environment ensuring their usability, reliability, authenticity and preservation for as long as they are needed.

Records will not be removed from the Shire's sites unless in accordance with the approved retention and disposal schedule, they are being transferred to the Shire's archive storage provider, or they are in the custody of an officer performing official business. It is preferred that wherever possible only copies of records are removed by those officers performing official business.

Access to Records

Access to the Shire's records by staff and contractors will be in accordance with designated access and security classifications and in accordance with the requirements of their role.

Access to the Shire's records by the general public will be in accordance with the *Local Government Act 1995* and the *Freedom of Information Act 1992*.

Access to the Shire's records by Elected Members will be via the Chief Executive Officer in accordance with the *Local Government Act 1995*.

Appraisal, Retention and Disposal of Records

All records kept by the Shire of Jerramungup will be disposed of in accordance with the General Disposal Authority for Local Government Records, published by the State Records Commission of Western Australia.

Staff and Elected Members must not personally undertake destruction of any records.

Records identified for destruction will be subject to review and approval by the Records Manager, and the Chief Executive Officer.

Copies/duplicates may be disposed of after use by staff and Elected Members ensuring any such records that contain personally identifiable information or information that is not publicly available are placed into confidential destruction bins or given to the Records Officer to dispose of.

Roles and Responsibilities

1. Elected Members

Elected Members will create and keep records of communications or transactions which convey information relating to the Shire's business or functions. These records will be forwarded to the Chief Executive Officer's Executive Assistant for capture into the Shire's recordkeeping system. Refer to the Elected Members Recordkeeping Guidelines for detailed procedures.

2. Chief Executive Officer

The Chief Executive Officer will ensure there is a system for the capture and management of records that is compliant with the *State Records Act 2000* and best practice standards.

3. Executive and Managers

Executive and managers will ensure that all staff (and contractors) under their supervision comply with this policy, associated records management procedures/guidelines and the Shire of Jerramungup's Recordkeeping Plan.

4. All Staff

All staff (including contractors) will create and receive records relating to the business activities they perform and are required to:

- a. Make records to document and support business activities.
- b. Ensure that records are captured and registered into the recordkeeping system or appropriate business system
- c. Ensure that records are secure at all times.

Refer to the Record Keeping Management Practice for detailed procedures.

Legislation and Standards

Legislation and standards applicable to recordkeeping in Western Australian Local Government organisations include:

State Records Act 2000

Corruption and Crime Commission Act 2003

Criminal Code Act Compilation Act 1913

Electronic Transactions Act 2011

Evidence Act 1906

Freedom of Information Act 1992

Interpretation Act 1984

Local Government Act 1995

State Records Commission: Principles and Standards

Australian Standard on Records Management: AS ISO 15489

Definitions

1. Record (*State Records Act 2000*)

For the purposes of this document, a record is defined as meaning “any record of information however recorded” and includes –

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

2. Significant Records

Contain information which is of administrative, legal, fiscal, evidential or historical value and are not recorded elsewhere on the public record. They describe an issue, record who was involved, record why a decision was made, and may embody actual guidelines.

3. Vital Records

Are records that are essential to the continued business of the Shire. Vital records include those that protect the rights of individuals and the Shire and are essential or the Shire's reconstruction in the event of a disaster. Examples of vital records include core computer system records, Council and Committee Minutes and Agendas, Financial and Budget records, Title Deeds, Policy and Procedure Manuals, Registers, Contracts/Tenders, Licences, Historical documents, Delegation of Authority, Insurance Policies, Town Planning Scheme deeds/information and any document detailing approvals of some kind.

4. Ephemeral Records

Ephemeral records are duplicated records and/or those that have only short-term value to the Shire of Jerramungup, with little or no ongoing administrative, legal, fiscal, evidential or historical value. They may include insignificant drafts and rough notes, or records of routine enquiries.

5. Third Party or Public Records (Non-Records)

Are documents that are generally available in the public domain and do not form part of a business process in respect to the Shire's activities. They are generally used for reference and information purposes, such as reports or plans from another organisation, a published directory, or a training manual of a third-party Roles and Responsibilities.

6. Recordkeeping Plan

The Recordkeeping Plan ensures that records are created, managed and maintained over time and disposed in accordance with legislation. It is the primary means of providing evidence of compliance with the *State Records Act 2000*. All government organisations must have a Recordkeeping Plan that is approved by the State Records Commission.

7. General Disposal Authority (GDA)

The General Disposal Authority for Local Government records (the schedule) is designed to provide consistency throughout Local Government in disposal activities and decisions. It is a continuing authority for the disposal and archival of records which document a Local Government's operations.

8. Personally Identifiable Information (PII)

PII refers to information, or an opinion, that can be used to distinguish or trace an individual's identity, either alone or when combined with other personal or identifying information that is linked or linkable to a specific individual, whether the information or opinion is true or not; and whether the information or opinion is recorded in a material form or not.

Relevant Legislation:	<i>Evidence Act 1906</i> <i>Freedom of Information 1992</i> <i>Local Government Act 1995</i> <i>Criminal Code 1913 (section 85)</i> <i>Electronic Transactions Act 2011</i> <i>State Records Act 2000</i> <i>General Disposal Authority for Local Government Records</i>
Related Documents:	Management Practice – Record Keeping Shire of Jerramungup Record Keeping Plan
Related Local Law:	N/A
Related Policies:	N/A
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