



A5 Records Management

Policy Objective

This policy establishes a framework for records management and consistency in the keeping of information in the form of documents, images, plans and web based content in both hard copy and electronic environment, in order to meet evidentiary, legislative and good governance requirements.

Policy

Definitions:

The Act:	<i>State Records Act 2000 (the Act)</i>
Corporate Record	means any hard-copy, digital or online record that meets one or more of the following criteria: <ol style="list-style-type: none">It conveys information essential or relevant in decision-making processes.It conveys information upon which others will, or may, use to make decisions affecting the Shire's operations, rights and obligations under legislation.It commits the Shire to certain courses of action, the commitment of resources or provision of services.It conveys information about matters of public safety or public interest, or involves information upon which contractual undertakings are entered into.The information is likely to be needed for future use, or is of historical value.
Ephemeral record	means any record that has no continuing value to the Shire and is generally only needed for a few hours or a few days. The Shire uses the guidelines contained within the General Disposal Authority for Local Government Records to determine which records are considered ephemeral.

Scope

This policy applies to all aspects of the Shire's business activities. It applies to all Shire employees, Council Members, volunteers and contractors engaged under contractual arrangements to conduct business on behalf of the Shire.

It applies to all active and archival records and all core and administrative functions where records are created, maintained, managed and stored, including the various business applications in use by the Shire. This includes hard copy documents, images, plans and website content.

Adherence to the Records Management Policy is a mandatory requirement for all, employees, Council Members and contractors of the Shire of Ravensthorpe. No exemptions exist for this Policy.

Context

The Act requires public officers to make and keep full and accurate records of their activities. The Act also requires public officers to ensure that such records are effectively and efficiently managed so that they are accurate, complete and available when required. These records must be protected from accidental or deliberate loss, damage or misuse and secured from unauthorised access. The Shire is responsible for, and is committed to, the effective management of all records and information in its care.

The Shire of Ravensthorpe recognises that records are vital assets, necessary to:



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- support its management, administration and service delivery,

The Shire seeks to ensure that:

- these records are managed efficiently and effectively, and can be readily accessed;
- it complies with all requirements concerning records and information management practices;
- retention and disposal of Shire records will be in accordance with the General Disposal Authority for Local Government Records provided by the State Records Office of Western Australia; and
- records of longer-term value are identified and protected for historical purposes and those records identified as permanent are transferred to the State Records Office of Western Australia in due course to become part of the state archives.

Roles & Responsibilities

Chief Executive Officer

In accordance with the State Records Office of Western Australia and the *Local Government Act 1995*, Council's Chief Executive Officer is responsible for ensuring that corporate records of the Shire are properly kept.

All employees, Council Members and contractors have a responsibility to create, capture and manage appropriately the complete and accurate records of the Shire, including records of decisions made, actions taken and transactions of daily business in accordance with the records management program, this policy and Council's records management procedures and processes.

Executive Team

The Executive Team are responsible for monitoring staff under their supervision to ensure that they understand and comply with the Records Management Policy and procedures. The Executive Team are also responsible for fostering and supporting a culture within their workgroup that promotes good record management practices.

Records Officer(s)

Provides training on the record keeping program as well as education on record keeping obligations on behalf of the organisation.

Advises the Chief Executive Officer and Executive Manager Corporate Services on the management, storage, classification, retention and disposal of records according to standards and Disposal Authorities issued by the State Records Office of Western Australia.

Manages the transfer of hardcopy and electronic records such as images, plans and web based content. Respects and protects the confidentiality of these records from unauthorised access and release of information.

Contractors

Ensuring that complete records are accurately created and managed that properly and adequately record evidence of the business activities of the work functions for which they are responsible. This applies to both hardcopy and electronic information, including email, images, plans and web based content.

Complying with the requirements of the Act, and any other applicable legislation with requirements pertaining to recordkeeping.

Respecting and protecting the confidentiality of these records from unauthorised access



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and release of information, and

Ensuring that these records are returned to the Shire upon completion or termination of the Contract or work.

Non-Compliant Record Keeping Systems

The following “systems/tools” do not provide adequate record keeping functionality and are not to be used to store all organisational records:

- email folders;
- local F drives;
- portable storage devices; and
- shared (network) drives.

Breaches

Any serious breaches and non-conformance with this Policy and associated procedures and legislative requirements will be dealt with under the Shire’s Code of Conduct or under contract management dispute provisions for contractors.

Principles of Record Keeping

The Shire is committed to achieving best practice through a council-wide consistent approach to the management of electronic information. This will be achieved through the following principles:

Manage

The Shire will establish the capability to manage the life-cycle of electronic content by maintaining electronic content and metadata in electronic form for the purpose of delivering services and conducting business. Electronic information is more accessible and continues to contain content when maintained in electronic form.

The Shire will develop policies, business rules and procedure to enable sound recordkeeping practices in the electronic environment.

The Shire will ensure the effective establishment and ongoing operation of its electronic content management system.

Capture

The Shire will establish business processes to ensure hard copy documents and electronic content generated or received are treated as official records in accordance with the Act.

The Shire will implement electronic recordkeeping practices through the design and operation of reliable recordkeeping or business systems which produce authentic and reliable electronic content.

Store and Preserve

The Shire will store and manage electronic content in compliance with relevant legislation and industry standards such as the *State Records Act 2000*, State Records Office Guidelines – Management of Digital Records.

Maintaining electronic records over time involves a shared responsibility between the Shire and the State Records Office of Western Australia. The Shire cooperates with State Records Office of Western Australia to establish arrangements for the long-term management and preservation of electronic records.

Access

Access to corporate records by employees and contractors will be in accordance with



designated access and security classifications, as determined by the Records Officer

Access to corporate records by the general public will be in accordance with the *Freedom of Information Act 1992*.

Access to corporate records by Council Members will be via the CEO in accordance with Section 5.92 of the *Local Government Act 1995*.

Enable

The Shire will invest in information technology infrastructure to support record keeping systems that facilitate integration of business and recordkeeping applications.

General Requirements

Destruction

The Records Officer will dispose of corporate records in accordance with the General Disposal Authority for Local Government Records and/or the General Disposal Authority for Source Records, following authorisation from the Chief Executive Officer.

Ephemeral Records

Ephemeral records may not be required to be placed within the Shire's official recordkeeping systems. Council Members, employees or contractors may dispose of such ephemeral records.

Training and Education

Training in recordkeeping practices and the use of the Shire's document and records management systems is available to all newcomers upon commencement and ongoing training is available upon request to the Records Officer. Council Members will be made aware of their recordkeeping responsibilities as part of the Council Member Induction Program.



DOCUMENT CONTROL BOX		
Custodian: Chief Executive Officer		Decision Maker: Council
Compliance Requirements: Record Keeping Plan		
Legislation: <i>State Records Act 2000</i> and standards issued by the State Records Office of Western Australia State Records Office Guidelines, Management of Digital Records <i>Building Act 2011</i> <i>Electronic Transactions (Western Australia) Act 2011</i> <i>Evidence Act 1906</i> http://www.sro.wa.gov.au/state-recordkeeping/legislative-requirements		
Industry:		
Organisational:		
Document Management:		
Risk Rating: Low	Review Frequency: 4 Years	Next Due:
Version #	Decision Reference:	Description:
a	OCM 18/08/2020 Item 13.3	Comprehensive Policy Register Review
b	OCM 19/07/2022 Item 12.1.2	Comprehensive Policy Register Review
c	OCM 21/11/2023 Item 12.1.1	Comprehensive Policy Register Review
d	OCM 17/12/2024 Item 12.1.2	Policy Reconfirmed – No Amendments