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## AP003 – Records Management

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### 1. Intention

To control and manage government records within a records management and record keeping framework that complies with legislative accountability and best practice requirements.

### 2. Scope

This policy applies to:

- Elected Members;
- All workers whether by way of appointment, secondment, contract, temporary arrangement or volunteering, work experience, trainees and interns; and
- Any external party involved in providing goods or services to the Council, such as contractors, consultants, outsourced service providers and suppliers.

### 3. Statement

The Shire of Waroona is committed to making and keeping full and accurate records of its business transactions and official activities. Records created and received by Shire employees and contractors, irrespective of format, are to be managed in accordance with the Shire of Waroona's Record Keeping Plan and Record Keeping Policy and Procedures Manual. Records will not be destroyed except by reference to the State Records Office's *General Disposal Schedule for Local Government Records*.

The Shire of Waroona has implemented systematic records management policies, procedures and practices to ensure the capture and management of all *government records*, irrespective of format.

The Shire uses a standard method to identify and retrieve the records it holds, through the use of standardised file numbering and consistent methods of classification.

All elected members and employees will ensure that full and accurate records are created to reflect business transactions and decisions.

All *government records* are to be registered and included in the Shire of Waroona Record Keeping System. It is the responsibility of all employees to ensure that records created or received in electronic form are registered in the SynergySoft central records system in the same manner as other registered mail and included in the paper based filing system.

*Government records* will only be disposed of in accordance with the State Records Office's *General Disposal Authority for Local Government Records*.

### 4. Guidelines

1. It is the responsibility of all employees to ensure that the business, operational and administrative activities of the Shire of Waroona are appropriately documented and that records are created and maintained in fulfilment of legislative requirements;
2. All significant records, irrespective of format, are to be registered, classified and captured into the Shire of Waroona's official record keeping system. All correspondence should be attached to a corporate file;

3. The Shire of Waroona is responsible for the security and protection of all records created or captured as part of the Shire's day to day operations. All employees and contractors have a responsibility to apply appropriate security and protection measures to all records created or received when carrying out the shire's business. All records are to be categorised as to their level of sensitivity and adequately secured and protected from violation, unauthorised access or destruction, and kept in accordance with necessary retrieval, preservation and storage requirements;
4. Access to the Shire of Waroona's records by employees and contractors will be in accordance with designated access and security classifications. Access to the Shire's records by the general public will be in accordance with the *Freedom of Information Act 1992* and the Shire's policy on Freedom of Information. Access to the Shire's records by Elected Members will be through the Chief Executive Officer in accordance with the *Local Government Act 1995*;
5. Records will only be destroyed or otherwise disposed of by reference to the *General Disposal Authority for Local Government Records* issued by the State Records Office, and following authorisation from the Chief Executive Officer. Records identified as a State Archive should be transferred to the State Records Office in accordance with the requirements of the *General Disposal Authority for Local Government Records*.

## 5. Rationale

The *State Records Act 2000* compels each government agency to have in place a comprehensive record keeping framework referred to as a Record Keeping Plan that covers the management of government records from their inception to through to their final disposition by destruction or archiving.

Under section 3 of the *State Records Act 2000*, a government record is defined as:

*"a record created or received by a government organisation, or a government organisation employee in the course of the employee's work for the organisation"*

It is the responsibility of all Shire employees and contractors to ensure that they create and maintain government records in accordance with the Shire's Record Keeping Plan. Failure to comply with this requirement is deemed to be an offence [s78(1)] and could attract a penalty of up to \$10,000.

## 6. Legislative and Strategic Context

The *State Records Act 2000*, *Local Government Act 1995* and the associated subsidiary legislation provide the broad framework within which this policy operates.

## 7. Review

This policy is to be reviewed every five years.

## 8. Associated Documents

Other documents that have an association to this policy and that may be useful reference material are:

- State Records Office: General Disposal Schedule for Local Government Records.

<b>Division</b>	Administration
<b>Policy Number</b>	AP003
<b>Contact Officer</b>	Records Officer
<b>Related Legislation</b>	ISO AS/NZS 15489 State Records Act 2000 State Records (Consequential Provisions) Act 2000

		Local Government Act 1995 State Building Act 2011 Criminal Code Compilation Act 1913 Electronic Transactions Act 2003 Evidence Act 1906 Freedom of Information Act 1992 Interpretation Act 1984 State Records Commission: Principles and Standards			
<b>Related Shire Documents</b>		AMP002 – Record Keeping Plan			
<b>Risk Rating</b>	Medium	<b>Review Frequency</b>	Every 5 years	<b>Next Review</b>	2022
<b>Date Adopted</b>	22/06/2004			OCM04/083	

Amendments		
Date	Details of Amendment	Reference
18/12/2018	Updated as part of major review.	OCM18/12/126
22/06/2021	Updated as part of major review and reformatted.	OCM21/06/071
Previous Policies		
CORP048 – Record Keeping Plan 2.40 – Record Keeping Plan		