

POL 0018: Records Management

Purpose

To ensure that the Shire meets the statutory requirements of the *State Records Act 2000* and associated legislation.

To provide record keeping principles and processes that identify, capture, and protect the Shire's corporate records of continuing value for legal, financial, administrative, accountability, and historical purposes.

Scope

This policy applies to all Shire of Esperance employees, elected members, volunteers, and contractors performing services on behalf of the Shire of Esperance. It ensures that all records, regardless of format, which are created or received in the course of their duties for the organisation are captured accurately.

Roles and Responsibilities

1. Chief Executive Officer: Is to ensure that an organisational system for the capture and management of corporate records is maintained by the Shire which is compliant with current legislative requirements and best practice standards.
2. Directors, Managers, and other Supervisors: Are to ensure record keeping policy and procedures are known and adhered to within their area of responsibility.
3. All Employees and Volunteers: Are required to create, collect, and retain records relating to the business activities they perform on behalf of the Shire. These records shall be handled in a manner appropriate with the Shire's record keeping requirements and captured into the Shire's record keeping systems.
4. Elected Members: Elected members are required, as representatives of the Shire of Esperance, to capture or create records of any significant activities, interactions and advice or commitments they provide to, or receive from, the community and forward these records onto the Shire.
5. Contractors and Outsourcing: Contractors and organisations performing outsourced functions on behalf of the Shire are to create full and accurate records, as directed by specific contractual arrangements.

Definitions

Corporate Record: A record that holds ongoing administrative, fiscal, legal, evidential, or historical value for the organisation.

Ephemeral Records: A record that only has short-term value to the Shire of Esperance, with little or no on-going administrative, fiscal, legal, evidential, or historic value. This may include insignificant drafts and rough notes, duplicated records or routine enquiries.

Employees and contractors may dispose of ephemeral records when reference to them ceases.

General Retention and Disposal Authority (GRDA): A list of mandatory minimum retention periods for different classes of corporate records which has been approved by the State Records Commission. This document identifies the minimum periods of time different classes of electronic and/or hardcopy records must be kept (retention periods) before they may be appropriately disposed.

Records: Information recorded in any format, created or received, and maintained by an organisation in the transaction of business and kept as evidence of such activity.

Practice

Corporate records provide fundamental evidence of the decisions and actions undertaken by the Shire whilst also serving as a tool for planning for the future. It is for these reasons that legislation exists to ensure that records are properly maintained and preserved for future generations. The most significant legislation impacting the management of Shire corporate records is the *State Records Act 2000*. Other legislation governing records management include the:

1. *Electronic Transactions Act 2011*;
2. *Evidence Act 1906*;
3. *Financial Management Act 2006*;
4. *Freedom of Information Act 1992*;
5. *Limitation Act 1935*;
6. *Local Government Act 1995*; and
7. State Records Commission Standards.

Corporate records are recognised as an important information resource for the Shire of Esperance, and it is accepted that sound record management practices will contribute to the overall efficiency and effectiveness of the Shire.

The Shire's corporate records are to be managed in accordance with the Shire's Record Keeping Plan. All elected members, employees, volunteers and contractors are responsible for maintaining complete, accurate, and reliable records as evidence of the actions, decisions, and transactions they make or undertake whilst performing their duties on behalf of the Shire.

All records created or received (including those from outsourced bodies or contractors), belong to the Shire of Esperance and not to the individuals who created them.

Ephemeral records are recognised only as short term in value and may be destroyed when reference ceases. If an ephemeral record is confidential in nature, it must be disposed in a provided confidential bin.

Capture and Control of Corporate Records

Corporate records are to be captured with required metadata into the Shire's recordkeeping systems and maintained to be kept current and accurate.

Elected members are required to forward hardcopy records on a monthly basis to the Shire Records Team, and electronic records as created or received to the Records team at shire@esperance.wa.gov.au.

Appraisal and Retention of Records

Records are assessed and categorised according to their functional classification as they are captured into the Shire's records management system.

Where permitted, all records held by the Shire of Esperance will be retained and disposed in accordance with the General Retention and Disposal Authority for Local Government Information, following authorisation from the Chief Executive Officer.

Security and Access to Records

All records held by the Shire of Esperance shall be stored in electronic and/or hardcopy formats in accordance with legislative requirements and protected from violation, unauthorised access, or destruction.

Access to Shire of Esperance records will be controlled in accordance with the level of security and classification of the record, regardless of format (electronic or hardcopy).

It is the responsibility of the employee capturing the record to advise if additional security may be applicable to the record.

.....End.....

Document Information

Responsible Position	Information Management Coordinator
Risk Rating	Medium

Referencing Documents

- *Local Government Act 1995*
- *State Records Act 2000*
- *Electronic Transactions Act 2011*;
- *Evidence Act 1906*;
- *Financial Management Act 2006*;
- *Freedom of Information Act 1992*;
- *Limitation Act 1935*; and
- *State Records Commission Standards*
- General Retention and Disposal Authority for Local Government Information

Revision History

Date	Version	CM Reference	Reason for Change	Resolution #	Next Review
Jul 2010	1	D12/64	New policy	O0710-1481	Jul 2012
Aug 2015	2		Rewrite of policy	O0815-010	Aug 2017
Mar 2018	3	D16/28991	Update document status and controller, minor formatting changes.	O0318-073	Mar 2020
Jan 2020	4	D16/28991[v2]	Biennial review, no change	O0120-013	Jan 2022
Feb 2022	5	D16/28991[v3]	Biennial review, no change – to be reviewed following release of new state records commission standards	O0222-033	Feb 2024

Dec 2023	6	D16/28991[v4]	Inclusion of the ownership of records, document flow and readability improved, impacting legislation and standards updated, and migrated to new corporate template.	O1223-202	Dec 2025
Jan 2026	7	D16/28991[v5]	Biennial review, Removed redundant sections and updated wording for better readability.	O0126-016	Jan 2028