

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 and contractors performing services on behalf of the Shire of Esperance, to ensure the records which are made or received in the course of their duties for the organisation, regardless of format, are captured accurately.

Roles and Responsibilities

1. **Chief Executive Officer:** The 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:** All supervisors are to ensure record keeping policy and procedures are known and adhered to in their area of responsibility.
3. **All Staff:** All staff 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 Shires 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 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: see Government Record

Council: in this document means the Local Government Office and the Council of the Shire of Esperance.

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

Officers and contractors may dispose of such ephemeral records when reference to them ceases (in accordance with the General Disposal Authority for Local Government Records).

General Disposal Authority (GDA): is 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 legally disposed or permanently archived.

Government Organisation Employee: means -

1. a person who, whether or not an employee, alone or with others governs, controls or manages a government organisation;
2. a person who, under the Public Sector Management Act 1994, is a public service officer of a government organisation; or
3. a person who is engaged by a government organisation, whether under a contract for services or otherwise,

and includes, in the case of a government organisation referred to in item 5 or 6 of Schedule 1, a ministerial officer, (as defined in the *Public Sector Management Act 1994*) assisting the organisation, (*State Records Act 2000*).

Government Record: is a record created or received by or for a government organisation or a government organisation employee or contractor in the course of the work for the organization (*State Records Act 2000*);

Local Government Office: the civic and administration office of the Shire of Esperance;

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

State Archive: is a State record that is to be retained permanently. (*State Records Act 2000*)

Vital Record: record that is essential for the ongoing business of an agency, and without which the agency could not continue to function effectively. The identification and protection of such records is a primary objective of records management and disaster planning.

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 includes 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.

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, officers 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 during the course of business (including those from outsourced bodies or contractors), belong to the Shire of Esperance and not to the individuals who created them.

Capture and Control of Records

All elected members, staff and contractors will capture or create full and accurate records, in required formats, of the business decisions, actions and transactions they make or undertake on behalf of the Shire. Records created and received in the course of Shire business are to be captured with required metadata, into the Shire's recordkeeping systems, and managed in accordance with sound recordkeeping principles.

Elected members are required to forward on to the Shire records they create or receive which document significant discussions, actions or advice provided as representatives of the Shire. This includes written and verbal communications such as work diaries, presentations, speeches, emails, community submissions, complaints and requests relating to Shire matters. Hardcopy records should be forwarded on a monthly basis to the Shire via the CEO's Executive Assistant in packets provided, and electronic records forwarded as received or created to shire@esperance.wa.gov.au.

Appraisal and Retention of Records

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

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

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).

Access to the Shire of Esperance’s records by the general public will be in accordance with the *Freedom of Information Act 1992* and Shire of Esperance’s *Freedom of Information Statement*.

Access to the Shire of Esperance’s records by elected members will be via the Chief Executive Officer in accordance with the *Local Government Act 1995*.

.....End.....

Document Information

Responsible Position	Information Management Coordinator
Risk Rating	Medium

Referencing Documents

- *Local Government Act 1995*
- *Electronic Transactions Act 2011*;
- *Evidence Act 1906*;
- *Financial Management Act 2006*;
- *Freedom of Information Act 1992*;
- *Limitation Act 1935*; and
- *State Records Commission Standards*.

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