

# Record Keeping

## Introduction

This policy ensures that the Shire has appropriate practices established to manage the creation, capture, preservation, retention and disposal of all recorded business-related documents, in accordance with the *State Records Act 2000*.

## Objective

Objectives of this policy are:

- To facilitate the ease of capture and management of elected members' records up to and including the decision-making processes of Council.
- To keep records and facilitate the collection of data through the Shire's business record keeping system, which includes but is not limited to physical mail, publications, emails, digital images, website and social media posts, text messages and information contained on the shared network drives.
- To ensure the Shire remains compliant with the State Records Act 2000.

## Scope

This Policy applies to all physical and digital information, government records, and all other records received and/or sent by Members, Shire Officers and Workers.

## Definitions

| Term                | Definition  |
|---------------------|---|
| Acts                | <i>State Records Act 2000 and Local Government Act 1995</i>   |
| CEO                 | Chief Executive Officer   |
| Council             | The local government, responsible for making decisions in formal meetings held under the auspices of Part 5 of the <i>Local Government Act 1995</i> and under the <i>Shire's Standing Orders Local Law 2008</i> . |
| Digital information | Any record of information within the meaning of section 3 of the State Records Act 2000 that exists in digital form and requires computer hardware and software to be read and understood.                        |
| GDALGR              | The General Disposal Authority for Local Government Records produced by the State Records Office of WA.   |
| Government record   | 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.  |
| Keep                | In relation to a record includes a reference to;  |

| Term                                | Definition  |
|-------------------------------------|---|
|                                     | <ul style="list-style-type: none"> <li>• creating, maintaining, indexing, organising, storing, preserving, securing, retaining and managing records; and</li> <li>• maintaining, preserving, securing and retaining the means by which any information on a record can be recovered.</li> </ul>   |
| Member                              | In relation to a council or committee, a Council Member in the Act; Elected Member; or Councillor; or a member of the committee.  |
| Physical Information                | A record of information within the meaning of section 3 of the <i>State Records Act 2000</i> that exists in an analogue, physical form and can be read and understood without the aid of hardware or software (e.g. words printed on paper).  |
| Preservation                        | The process and operations involved in ensuring the technical and intellectual survival of authentic records over time.   |
| Record (SRO Glossary)               | <p>Any record of information however recorded and includes —</p> <ul style="list-style-type: none"> <li>(a) any thing on which there is writing or Braille;</li> <li>(b) a map, plan, diagram or graph;</li> <li>(c) a drawing, pictorial or graphic work, or photograph;</li> <li>(d) any thing on which there are figures, marks, perforations, or symbols, having a meaning for persons qualified to interpret them;</li> <li>(e) anything from which images, sounds or writings can be reproduced with or without the aid of anything else; and</li> <li>(f) any thing on which information has been stored or recorded, either mechanically, magnetically, or electronically.</li> </ul> |
| Record Keeping plan                 | The plan required under Parts 2 and 3 of the <i>State Records Act 2000</i> .  |
| Recordkeeping system (SRO Glossary) | <p>A system to capture, maintain and provide access to records over time that displays features for ensuring authentic, reliable, complete and usable records that function as evidence of business transactions. Recordkeeping systems include:</p> <ol style="list-style-type: none"> <li>1. a set of authorised policies, assigned responsibilities, delegations of authority, procedures and practices; policy statements, procedures manuals, user guidelines and other documents which are used to authorise and promulgate corporate practices;</li> <li>2. the records themselves;</li> </ol>   |

| Term            | Definition   |
|-----------------|--|
|                 | 3. specialised information and records systems used to control the records; and<br>4. software, hardware and other equipment, and stationery.  |
| Reformatting    | The act of converting records from one format to another while maintaining the record's authenticity, integrity, reliability and usability. This may involve the digitisation of analogue materials. |
| Regulations     | <i>State Records Principles and Standards 2002</i><br><i>Local Government (Administration) Regulations 1996</i>  |
| Shire           | the Shire of Toodyay   |
| Shire Officer   | Employee of the Local Government   |
| WHS legislation | <i>Work Health and Safety Act 2020</i><br><i>Work (Health and Safety) General Regulations 2022</i>   |
| Worker          | Employees, contractors and volunteers as per the WHS legislation.  |

## Policy Statement

Records must be created and kept which properly and adequately record the performance of Member or Worker functions arising from participation in the decision-making processes of Council and Committees of Council and/or engaged by the Shire to be responsible for maintaining records, whether under a contract for services or otherwise.

### 1. Responsibility

All Members, Shire Officers, and Workers are responsible for creating full and accurate records of the Shire of Toodyay's business decisions and transactions.

The creation, preservation or reformatting of records shall meet all legislative, business, administrative, financial, evidential and historical requirements in accordance with the Shire's Record Keeping Plan.

Members, Shire Officers, and Workers may distribute Shire records to appropriate recipients in accordance with the parameters of the *Local Government Act 1995*.

Members, Shire Officers, and Workers must ensure the confidentiality of the records.

The Records Management Officer is responsible for the naming conventions, creation, security, closure of all files and disposal of records.

### 2. Capture and Control

All records created and received during Shire business, are captured at the point of creation or receipt regardless of format.

These records are to be formatted in accordance with the Specification for Digitisation of State Records Guidelines, with the required metadata, into an appropriate recordkeeping system.

The Shire manages these systems in accordance with the Shire's Record Keeping Plan.

The Shire must implement an approved Digitisation Plan prior to the digitisation of source records occurring.

### **3. Security and Protection**

All records should be categorised as to their level of sensitivity, adequately secured, and protected from violation, unauthorised access or destruction.

Records should be kept in accordance with necessary retrieval, preservation, and storage requirements; and appropriate migration strategies implemented for new systems.

All archives shall be in accordance with the State Records Office [Directions for Keeping Archives Awaiting Transfer 2009](#).

### **4. Access to Records**

Access to the Shire's records by Shire Officers, and Workers is in accordance with designated access and security classifications.

Access to any Shire's records by the public is in accordance with the *Freedom of Information Act 1992*.

Access to the Shire's records by Members will be via the office of the CEO in accordance with the *Local Government Act 1995*.

### **5. Appraisal, Retention and Disposal of Records**

All Shire records are to be retained and disposed of, in accordance with the GDALGR.

If the destruction of records is outsourced, the Workers must sign an appropriate confidentiality agreement and agree to perform the destruction in accordance with the GDALGR.

### **Reference Information**

- Records Management – [DLGSC](#)
- State Records Office of WA [Glossary of Terms](#)
- State Records Office of WA [Records Management Advice](#)
- SRC Policy: [Local Government Elected Members' records](#)
- [Corporate Documents](#) Policy (ADM1);
- [Execution of Documents](#) Policy (ADM22).
- [Specification for Digitisation of State Records Guidelines](#).

### **Legislation**

Legislation including but not limited to:

- *State Records Act 2000*;

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- *State Records Principles and Standards 2002;*
- *Local Government Act 1995;*
- *Financial Management Act 2006;*
- *Work Health and Safety (Mines) Regulations 2022;*
- *Evidence Act 1906; and*
- *Freedom of Information Act 1992.*

### Associated documents

Shire of Toodyay Record Keeping Plan

The [General Disposal Authority](#) for Local Government Records 2015-001/1

Business Continuity Plan

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