

15.5 Record Keeping Policy

Location	Town-wide
Reporting officer	Information Management Coordinator
Responsible officer	Manager Technology and Digital Strategy
Voting requirement	Simple majority
Attachments	1. Policy TBA Record Keeping [15.5.1 - 5 pages]

Recommendation

That the Policy Committee recommends that Council adopts Policy xxx Record Keeping Policy.

Purpose

To consider the adoption of the Record Keeping Policy.

In brief

- The State Records Commission requires the record keeping policies and procedures of an entity to clearly set out roles and responsibilities for staff, and to cover all aspects of an organisation's business operations.
- To ensure that the Town meets the statutory requirements of the State Records Act 2000 and associated legislation by having an endorsed Record Keeping Policy.

Background

1. Records can take many forms including letters, memos, emails, photos, videos, recordings, and social media posts. They are important because they are the corporate knowledge of an organisation. They may also form important evidence in legal proceedings or have priceless value as an historic record. Most importantly, records and good recordkeeping practice promote accountable and transparent decision making.
2. The State Records Commission was established in July 2001 in accordance with part 8 of the State Records Act 2000 to raise the standard of record keeping in government agencies, including local government.
3. The State Records Act 2000 (the Act) sets the framework for records management of state and local government entities.
4. The Act requires all government entities, including Local Governments, to develop a recordkeeping plan (RKP) outlining how they will comply with the standards and principles.
5. The State Records Principle and Standards 2002, Standard 2 states a record keeping policy, in the form of one or more identifiable policy statements, should be authorised at an appropriate senior level, promulgated throughout the organisation, and be available to all employees.
6. Record keeping policy statement should provide the framework for underlying procedures and emphasise the corporate ownership of government records; that all records are corporate assets and as such, do not belong to individual employees.
7. The policy should define the roles and responsibilities of all employees who manage or perform record keeping processes and establish the Towns position on the making and keeping of proper and adequate records of the organisation's business activities.

8. Currently the Record Keeping Policy only exists as an internal procedure however the policy should be published externally.

Strategic alignment

Civic Leadership	
Community priority	Intended public value outcome or impact
CL3 - Accountability and good governance.	Ensures Council policy is compliant with legislative requirements.

Engagement

Internal engagement	
Elected Members	Elected members provided feedback on the Record Keeping Policy through the Councillor Portal.
SMT	SMT members provided feedback in relation to the proposed Record Keeping Policy.

Legal compliance

[STATE RECORDS ACT 2000](#)

Risk management consideration

Risk impact category	Risk event description	Consequence rating	Likelihood rating	Overall risk level score	Council's risk appetite	Risk treatment option and rationale for actions
Financial	The penalties for mismanagement of records are high and range from external investigation to potential temporary or permanent closure of the Town.	High	Likely	High	Low	Treat risks by supporting the recommendation.
Environmental	Not Applicable					
Health and safety	Not Applicable					
Infrastructure/ ICT systems/ utilities	Not Applicable					
Legislative compliance	Council not adopting the Record Keeping Policy will result in noncompliance with the Town's statutory obligations.	Moderate	Likely	Moderate	Low	Treat risks by supporting the recommendation.
Reputation	Negative public perception towards the Town if it does not meet the legislative compliance.	Moderate	Likely	Moderate	Low	Treat risks by supporting the recommendation.

	Loss of trust from the community and employees if the mismanagement of information results in financial and other penalties from the State or Commonwealth regulatory bodies.
Service delivery	Not Applicable

Financial implications

Not applicable.

Analysis

1. Local government entities are required to effectively manage their records to promote accountable and transparent decision making.
2. The policy details the responsibilities of Town staff, elected members and contractors in relation to the creation and maintenance of records, whether in paper or electronic format.
3. The Record Keeping policy aids employees and Elected Members to meet their statutory record keeping requirements.
4. Following the policy adoption, provision will be made for the new policy to be disseminated to the Towns employees and Elected Members.
5. Reference to the policy adopted will be made during Record Awareness Training for new employees and during ongoing record system training and refresher training sessions to ensure employees are aware of their record-keeping responsibilities.
6. Elected Members will be given a copy of the Policy and the Elected Member Record Keeping Guidelines and included in future induction packages for new Elected Members.

Relevant documents

Not applicable.