

SOUTHERN REGION WASTE RESOURCE AUTHORITY (SRWRA)

(PO-21) RECORDS MANAGEMENT POLICY

Date of 1st Adoption:	6 th April 2009 Report No. 29/09
Next Review	August 2022
Date: Reviewed:	3 rd June 2019 (Annual Review – Item 3.2 1 st August 2016 (Annual Review) – Report 28/16 2 nd February 2015 (Annual Review) – Report No 04/15 January 2014 (Annual Review) – Executive Officer 5 th April 2012 (Annual Review) – Executive Officer 6 th June 2011 (Annual Review) – Report No.44/11 13 th May 2010 (Annual Review) – Executive Officer

POLICY STATEMENT

1. INTRODUCTION

The State Records Act 1997 governs the obligations and responsibilities of SRWRA in relation to the management of official records. Under this Act, SRWRA has an obligation to maintain official records in its custody in good order and condition. Not only does this include obligations in relation to the capture, storage, maintenance and disposal of physical records but also records in electronic format.

An official record is a record made or received by SRWRA in the conduct of its business. This means that, any record created, sent, received, forwarded or transmitted by SRWRA staff and/or SRWRA Board Members in the performance and discharge of their functions and duties may be classified as official records. However, records that are merely transitory, ephemeral, personal or private in nature will fall outside the definition of “*official records*”. (See Records Management Procedure for definitions listing).

This Policy provides the policy framework for SRWRA to effectively fulfill its obligations and statutory requirements under the State Records Act.

The establishment of an effective and efficient record keeping environment ensures standardisation, protection and retrieval of information.

Good records management is of key importance to good governance. Records are vital ingredients in the support of SRWRA’s ongoing business activities. SRWRA is committed to managing its records of continuing value and their timely transfer to the State Records Office.

SRWRA has certain legal obligations in relation to records management and records are themselves subject to legislation, such as the Freedom of Information Act 1991, and legal processes, such as discovery and subpoenas. The records may also be required by Royal Commissions, the Ombudsman, the Courts, auditors and other people or bodies to whom or which they may be subject.

2. SCOPE OF THIS POLICY

This Policy applies to all SRWRA business, including electronic business. It concerns records, which are created, collected, processed, used, sentenced, stored and disposed of in the conduct of official business. It applies to all SRWRA staff and Board Members.

Electronic communications which are relevant to information gathering, policy formulation or decision making processes are part of the scope of this policy. Electronic messages, which document business activity, should be recorded, printed and placed in relevant files consistent with this Policy and the SRWRA Records Management Procedure and Guidelines.

3. OBJECTIVES OF THE RECORDS MANAGEMENT SYSTEM

3.1 To ensure that the management of SRWRA's information, resources and records management system provides timely and comprehensive information to meet operational business needs, accountability requirements and community expectations.

3.2 To ensure the preservation of SRWRA's "*corporate memory*" through sound record keeping practices and the accurate capture of information to meet legal, evidential and accountability requirements.

4. OBLIGATIONS OF RECORDS USERS

SRWRA staff and Board Members must not intentionally damage, alter, dispose of or remove official records of the SRWRA without authorisation to do so. SRWRA staff and Board Members are required to handle records with care and respect in a sensible manner to avoid damaging records and with a view to prolonging their life span.

SRWRA must ensure that records in any format, including electronic documents & messages, are captured into SRWRA's record keeping system. Records must be readily accessible to meet business and accountability requirements and are to be captured and maintained as functioning records by preserving their structure, context and content.

5. CONFIDENTIAL RECORDS

If a staff member or SRWRA Board Member believes that a record forwarded to the designated records officer for incorporation into the record keeping system is of a highly sensitive or confidential nature, he or she should advise the Chief Executive Officer of that view. It will be at the discretion of the Chief Executive Officer as to whether such information will then be treated as confidential and access to those records restricted.

6. DESTRUCTION METHODS

Official records must be disposed of in accordance with the current General Disposal Schedule No.20 for Local Government Authorities in South Australia which can be accessed through the State Records website at www.archives.sa.gov.au. Transitory or ephemeral records, or records that are personal or private in nature, may be destroyed in accordance with Normal Administrative Practice.

7. RECORDS SECURITY

The security of all SRWRA records is crucial, as records provide evidence of business transactions, support management decisions and ensure public accountability requirements are met. Records in all formats should be stored securely to prevent unauthorised access, destruction, alteration or removal.

SRWRA official records are not to be stored at home or left in cars unattended as they could be lost or damaged or stolen. Confidential records must be stored in locked storage cabinets which are accessible only by authorised persons. This also reduces the possibility of damage by water or fire in the event of a disaster.

8. RESPONSIBILITIES AND ACCOUNTABILITIES

Chief Executive Officer

The role of Chief Executive Officer, as prescribed by section 99 of the *Local Government Act 1999*, includes ensuring that records required under any legislation are properly kept and maintained.

Records Manager

Responsibility for SRWRA's records management system is assigned to the Office Manager under the supervision of and accountability to the Chief Executive Officer. The role of the Records Manager is to provide strategic focus for record keeping consistent with the SRWRA Records Management Procedure and Guideline document.

SRWRA Staff

SRWRA staff need to be aware of record keeping requirements that affect the performance and exercise of their duties and functions consistent with the requirements outlined in the SRWRA Records Management Procedure and Guideline document.

9. OTHER RELEVANT DOCUMENTS

- Records Management Procedure and Guidelines (PRO 12)
- Code of Conduct for SRWRA Employees (PO 01)
- State Records Act 1997
- General Disposal Schedule 20
- Local Government Act 1999
- Freedom of Information Act
- Ombudsman
- Independent Commissioner Against Corruption

Policy Review

This policy will be reviewed every 3 years and at other times if any significant new information, legislative or organisational change warrants an amendment to this document.