



## Department of Environment and Conservation (DEC)

### POLICY STATEMENT

### RECORDS MANAGEMENT POLICY

#### INTERPRETATION

In this policy, unless the contrary intention appears:

**“Government record”** means:

Any record in any form created or received by a government organisation, or by a government employee in the course of the employee’s work, which records evidence of the organisation’s business activities or decisions. The *State Records Act 2000* states that the form of a record may include:

- any thing on which there is writing or Braille;
- any map, plan, diagram or graph;
- any drawing, pictorial or graphic work, or photograph;
- any thing on which there are figures, marks, perforations, or symbols, having meaning for persons qualified to interpret them;
- any thing from which images, sounds or writings can be reproduced with or without the aid of anything else; and
- any thing on which information has been stored or recorded, either mechanically, magnetically, or electronically.

This includes for example letters; memos; post-it-notes; transcripts of telephone conversations; email; and electronic records or data stored in any business system.

**“Government employee”** as defined by the *State Records Act 2000* means:

- a person who, under the *Public Sector Management Act 1994*, is a public service officer of a government organisation; or
- a person who is engaged by a government organisation, whether under a contract for services or otherwise (eg contractors, consultants, and anyone performing an outsourced service or function for the agency).

## 1. OBJECTIVES

This policy will:

- 1.1 Facilitate compliance with the requirements of the *State Records Act 2000*.
- 1.2 Facilitate management of corporate records as a corporate asset and information resource in order to meet operational business needs.
- 1.3 Facilitate improvement in the quality and accessibility of corporate information.
- 1.4 Provide the framework for underlying procedures and guidelines on the recordkeeping roles and responsibilities of all employees in the Department of Environment and Conservation (DEC).

## 2. BACKGROUND

The *State Records Act 2000* takes into account current technological and administrative trends, and aims to strengthen public sector accountability through effective recordkeeping and to provide a standard-setting and monitoring function reportable directly to Parliament.

The legislation prescribes an instrument of accountability called the Recordkeeping Plan (RKP), which must be prepared by every government organisation and submitted to the State Records Commission for approval. The RKP must set out the matters about which records are to be created by a government organisation, how those records are to be managed in the context of the organisation's functions, and for how long records are to be kept. Heavy penalties are provided for individuals who do not keep a record in accordance with the RKP or who illegally destroy a record.

Each government organisation must follow up submission of its RKP with an annual report on compliance. The RKP must be reviewed at least every 5 years and any changes to the Plan must be submitted in a draft amendment to the State Records Commission.

## 3. LEGISLATIVE BASE

The recordkeeping responsibilities of all government organisations are contained in the State Records Act. In Part 3 of the Act, Section 16 outlines the specific requirements for development of an organisation's RKP. Section 17 of the Act stipulates that the organisation's RKP must be complied with by the organisation and by every government employee of the organisation.

The Act is accompanied by a set of principles and standards, established under Section 61 (1) (a) of the *State Records Act 2000*. These principles and standards support the development and implementation of the organisation's RKP and define the core requirements for recordkeeping by State organisations.

#### **4. POLICY**

The Department will:

- 4.1 Adopt best practice recordkeeping throughout the department.
- 4.2 Adopt a records management framework that has centralised control over design and implementation of the records management program while facilitating decentralised recordkeeping.
- 4.3 Adopt and maintain a reliable Electronic Document and Records Management System (EDRMS) to support business requirements and facilitate accountability.
- 4.4 Ensure all departmental staff are made aware of the Department's recordkeeping compliance requirements and their individual recordkeeping roles and responsibilities.
- 4.5 Establish processes to monitor compliance with external and internal recordkeeping requirements.

This policy applies to all employees in the Department of Environment and Conservation (DEC), regardless of their physical location.

#### **5. POLICY IMPLEMENTATION REQUIREMENTS**

The Department will:

- 5.1 Ensure the records management program is appropriately resourced.
- 5.2 Implement the State Records Commission Principles and Standards to ensure the creation, capture, maintenance and retention of government records is done in accordance with legislative requirements.
- 5.3 Implement AS/ISO 15489 as the best practice model for the development and implementation of recordkeeping systems and practices throughout the department.
- 5.4 Implement and maintain the Department's EDRMS as its primary recordkeeping system to support business needs and accountability.
- 5.5 Ensure recordkeeping requirements are taken into account in the design and upgrade of business systems that have a recordkeeping function.
- 5.6 Develop and implement guidelines and procedures to ensure all government employees have a clear understanding of the department's recordkeeping practices.
- 5.7 Provide recordkeeping awareness training to all its government employees to ensure adequate understanding and knowledge of their individual recordkeeping responsibilities.

**6. ASSOCIATED POLICIES / STRATEGIES**

- Department of Environment and Conservation (DEC) Code of Conduct, April 2007.
- Department of Conservation and Land Management (CALM) Circular 10/91 Retention, Microfiching and Destruction of Accounting Records.
- Premier's Circular 2003/02 Retention of Records Relating to Aboriginal People.

**7. CUSTODIAN**

The Director of Corporate Services is the custodian for this policy.

**8. DIRECTOR GENERAL APPROVAL**

Approved on

.....16 February 2008.....

By Keiran McNamara  
DIRECTOR GENERAL

.....Kj. McNamara.....