Department of
Education

GOVERNMENT OF
WESTERN AUSTRALIA

Records Management Procedures

Effective date: 22 November 2022

Version: 4.3

These procedures must be read in conjunction with the Records Management Policy.

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These procedures must be read in conjunction with the <u>Records Management Policy</u>.

1. Policy supported

<u>Records Management Policy</u>

2. Scope

These procedures apply to all employees.

3. Procedures

3.1 Line managers

Line managers must:

- provide induction for employees on their recordkeeping responsibilities and advise them to undertake the relevant training;

- include appropriate clauses regarding recordkeeping obligations in all outsourcing contracts to enable the Department to meet its recordkeeping obligations;

- inform all persons engaged under a contract for services or otherwise of their recordkeeping obligations;

- instruct employees to comply with the latest up-to-date records management procedures manual relevant to their site;

- provide adequate resources to facilitate proper records management practices; and

- authorise disposal of records at the appropriate time as advised by Corporate Information Services and in accordance with the approved retention and disposal schedules and general disposal authorities.

> **Guidance**
>
> Information about induction and training is provided in sections 3.3 and 3.4.
>
> The retention and disposal component of a government organisation's approved <u>Recordkeeping Plan central and regional services and school</u> (staff only) allows for the legal disposal of records. Records

identified for further retention after action has been completed can be removed to alternative storage such as off-site or off-line storage.

3.2 Business information system owners

Business information system owners must:

- establish recordkeeping compliance processes for new business systems or when current systems are upgraded;

- implement appropriate security and authentication controls;

- retain ownership of records, including the responsibility for conversion or migration of information, for its entire life; and

- oversee the storage of digital records and their metadata in appropriate media so that they remain accessible and usable for as long as they are required (including in legacy systems).

Guidance

Media should be sanitised to the degree of the most sensitive information it contains (see State Records Office Sanitizing Digital Media and Devices). For more information refer to State Records Commission Standard 8: Managing Digital Information.

Business information system owners should comply with the mandatory requirements when purchasing or upgrading a business information system. For further information contact the Corporate Information Services Help Desk.

3.3 Central and educational regional office employees

Central and education regional office employees must:

- complete the online Recordkeeping Awareness Training (staff only) course;

- complete TRIM training (staff only);

- refer to the Manage records in central and regional offices (staff only);

- manage archival records in accordance with the State Records Commission Standard 8: Managing Digital Information; and

- for corporate records:

    - capture all corporate hardcopy and digital records (including text messages) relating to

business activities that are received and/or created into the Department's recordkeeping systems;

- maintain the currency, integrity and accuracy of records;

- apply appropriate security to confidential and sensitive records created and/or received by them; and

- use secure storage and restricted physical access to confidential records.

Guidance

TRIM is the electronic recordkeeping system for central services and education regional offices. Access to TRIM is only provided upon successful completion of the Recordkeeping Awareness and TRIM training courses.

The Recordkeeping Awareness Training (staff only) course is accessed via Ikon.

To register for TRIM training please refer to the information accessed via Ikon under Manage records in central and regional services (staff only).

Please refer to Appendix A for additional information relating to corporate records.

3.4 School-based employees

School-based employees must:

- complete the Recordkeeping Awareness Training course, refer to Manage records at your school (staff only);

- refer to the Manage records at your school (staff only);

- register all official school files using the School File Plan accessed via Manage records at your school (staff only); and

- for corporate and archival records:

  - capture all corporate hardcopy records relating to business activities that are received and/or created into the school's recordkeeping systems;

  - maintain the currency, integrity and accuracy of records;

  - apply appropriate security to confidential and sensitive records created and/or received by them; and

  - use secure storage and restricted physical access to confidential records.

Guidance

The Recordkeeping Awareness Training (staff only) course is accessed via Ikon under Manage records at your school (staff only)

Non-Administrative/Non-Teaching staff that do not have access to the Records Awareness Training course through the Department's Portal should liaise with the School Administration Office to complete the hardcopy Records Awareness Training course.

Please refer to Appendix A for additional information relating to corporate records.

4. Definitions

Archival record

A record (also known as a state archive) that is to be preserved permanently (never to be destroyed) because of its enduring value (i.e. historical, evidential etc.).

Business information system

An organised collection of hardware, software, supplies, policies, procedures and people, which stores, processes and provides access to an organisation's business information; or an automated system that creates or manages data about an organisation's activities.

This includes applications with the primary purpose of facilitating transactions between an organisational unit and its customers - for example, an e-commerce system, client relationship management system, purpose-built or customised database, finance or human resources systems.

Corporate record

Provide evidence of the business activity of the organisation. Corporate records are those that:

- contain information which is of administrative, legal, fiscal, evidential or historical value and is not recorded elsewhere on the public record; including electronic messaging (see Appendix A for examples);

- document important communication and/or a transaction between employees or between an employee and another party; and

- document the rationale behind policy, senior employee decisions and directives.

Digital record

Any 'record of information' within the meaning of section 3 of the State Records Act 2000 that exists in binary form, and that requires combinations of computer hardware and software to be read and understood. These records may include, but not limited to:

- emails;

- sms mobile text messages;

- web sites;

- database applications;

- word processed documents;

- spreadsheets; and

- digitised reproductions of documents.

Disposal

The removal of records from the organisation and their subsequent destruction or transfer to the State archives collection for permanent retention as state archives.

Employee

For the purposes of the *Records Management Policy and Procedures* employee is defined as:

- a person employed under the School Education Act 1999 or the Public Sector Management Act 1994; or

- a person who is engaged by the Department, whether under a contract of services or otherwise; and

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

Ephemeral record

A record which has only short-term value to the organisation with little or no on-going administrative, fiscal, legal, evidential, or historical value and do not need to be captured into the corporate recordkeeping system.

Record

Any 'record of information', however recorded, pursuant to section 3 of the *State Records Act 2000*, and including:

•   anything on which there is writing or Braille;

•   a map, plan, diagram or graph;

•   a drawing, pictorial or graphic work, or photograph;

•   anything on which there are figures, marks, perforations, or symbols, having a meaning for persons qualified to interpret them;

•   anything from which images, sounds or writings can be reproduced with or without the aid of anything else; and

•   anything on which information has been stored or recorded, either mechanically, magnetically, or electronically.

Recordkeeping

The systematic organisation and control of recorded information in any format from the time it is created to its final disposition.

Recordkeeping plan

A document that sets out how an organisation manages its records as required under Parts 2 and 3 of the State Records Act 2000.

Recordkeeping system

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.

Records management

A systematic approach to the creation, maintenance, use and disposition of records.

Retention and disposal schedule

Establishes the minimum retention period for each type of record listed in the schedule regardless of medium, and dictates the final action for the record.

TRIM

The name of the mandated electronic document and records management system used by the Department of Education central services and education regional offices to support compliant recordkeeping practices.

5. Related documents

Relevant legislation or authority

Criminal Code Act Compilation Act 1913 (WA)

Electronic Transactions Act 2011 (WA)

Evidence Act 1906 (WA)

Freedom of Information Act 1992 (WA)

Limitation Act 2005 (WA)

Privacy Act 1988 (Cth)

Public Sector Management Act 1994 (WA)

School Education Act 1999 (WA)

School Education Regulations 2000 (WA)

State Records Act 2000 (WA)

State Records Commission Standards

Related department policies

Enrolment in Public Schools

Other documents

Recordkeeping Plan central and regional services and school (staff only)

Manage records at your school (staff only)

Manage records in central and regional services (staff only)

State Records Commission Standard 8: Managing Digital Information

State Records Office Records Management – Advice

6. Contact information

Policy manager:

Director, Business and Customer Services

Policy contact officer:

Policy Officer Recordkeeping

T: (08) 9264 4371

Other:

Corporate Information Services Help Desk

T: (08) 9264 4867

 E: recmanhd@education.wa.edu.au

7. History of changes

Effective date	28 April 2015
Last update date **Procedure version no.**	3.0
Notes	Major review undertaken and split into policy and procedures. Endorsed by Corporate Executive 13 February 2015.
Effective date	28 April 2015
Last update date	22 July 2015
Procedure version no.	3.1
Notes	Minor change to update references of TRIM to HP Records Manager to reflect the HPRM upgrade D15/0284563.

Effective date	26 September 2017
Last update date	26 September 2017
Procedure version no.	3.2
Notes	Change to mandatory content under ss 3.3 and 3.4 on Recordkeeping Awareness course and updated links endorsed by Director General at Corporate Executive on 28 July 2017.
Effective date	26 September 2017
Last update date	27 August 2018
Procedure version no.	3.3
Notes	Minor changes to include reference to electronic messaging under the definition of significant records, updated contact information to reflect organisational changes D18/0377111 and updated legislation links D18/0207680.
Effective date	12 September 2017
Last update date	14 November 2018
Procedure version no.	3.4
Notes	Minor updates linking to IKON pages. Approval D18/0505628.
Effective date	3 December 2019
Last update date **Procedure version no.**	4.0
Notes	Major review undertaken and endorsed by the Director General on 31 October 2019. D19/0541621.

Effective date	3 December 2019
Last update date	25 May 2021
Procedure version no.	4.1
Notes	Minor changes to reflect Ikon links D21/0276358

Effective date	22 November 2022
Last update date **Procedure version no.**	4.2
Notes	Major change to remove requirement to complete Records Awareness Training every two years. D22/0592876

Effective date	22 November 2022
Last update date **Procedure version no.**	4.3
Notes	Hyperlinks updated and minor change to guideline names and hyperlinks in Appendix A. D24/0460015

8. Appendices

Appendix A: <u>Additional information</u> (PDF file - 99.5kB)

9. More information

Supporting content

Policy
Records Management Policy

Procedure review date

3 December 2022

Procedure last updated

26 June 2024