

# Policy



<b>Policy Name</b>	<b>Records Management</b>
<b>Policy/File Number</b>	ED4.12.012
<b>Review Frequency</b>	Every Two Years or as required by legislation
<b>Attachments</b>	nil

## 1. Purpose

The aim of this Policy is to support the commitment of the Victor Harbor Horse Tram Authority (the Authority), to sound records management practices, ensuring information is managed appropriately and is available to support its functions and operations, meeting legal, evidential and accountability requirements

## 2. Scope

This Policy applies to all Board Members, employees, volunteers, contractors and sub-contractors working on behalf of the Authority.

All records and information, both new and existing, of any format, generated or received in the conduct of Authority business are within the scope of this policy.

## 3. Policy Statement (Summary)

The Authority recognises the value of information and records to its operations and performance, and considers it a core strategic asset that needs to be actively managed and maintained across the organisation.

## 4. Legislation and Compliance

The Authority is a subsidiary of the Council established under Section 42 of the Local Government Act 1999. Section 3.1.2.5 of the Victor Harbor Horse Tram Authority Charter requires the General Manager of the VHHTA to ensure that records required under the Act or in other legislation are properly managed and maintained.

The Authority is required to comply with the State Records Act 1997 (the Act). It must ensure that official records in its custody are maintained in good order and condition. This obligation applies to the capture, storage, maintenance and disposal of physical and electronic records.

The Authority is obliged to keep adequate records in order to fulfil its responsibilities under other acts such as the Freedom of Information Act 1991. 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.

In accordance with Section 17 of the State Records Act, if a person, knowing that he or she does not have proper authority to do so, intentionally damages or alters an official record, or

disposes of an official record or removes an official record from official custody, that person commits an offence under the Act (Maximum penalty: \$10,000 or imprisonment for 2 years).

### *Relevant Legislation*

State Records Act 1997

Freedom of Information Act 1991

Local Government Act 1999

Ombudsman Act 1972

Independent Commissioner Against Corruption Act 2012

Whistleblowers Protection Act 1993

Copyright Act 1968

Evidence Act 1929 (as amended)

Electronic Transactions Act 2000

## 5. Definitions

**Continuing Value** – records of continuing value are those that contain information that is of administrative, legal, fiscal, evidential or historical value to the Authority.

**Victor Harbor Horse Tram Authority Business** – May include the provision of services and the delivery of programs, development of policies, making of decisions, performance of Authority functions and other similar types of activities.

**Authority Staff** - persons employed (full time, part time and casual), volunteers, trainees, work experience placements, independent consultants and contractors and other authorised personnel offered access to the Authority's resources.

**Board Member** – a member of the Victor Harbor Horse Drawn Tram Authority's board of management.

**Disposal of** – to dispose of a record means:

Transfer and retention of permanent records at the State Records storage facility;

Transfer of temporary records to temporary storage;

Destruction of records no longer required for current administrative purposes in accordance with an approved disposal schedule (and once the minimum retention period has been met);

Transfer of ownership and custody of a record to a non-government entity.

**Normal Administrative Practice** - a provision for the routine destruction of drafts, duplicates and publications created, acquired or collected by Authority staff in the course of their official duties, with the test that it is obvious that no information of more than transitory or temporary value will be destroyed.

**Record** – AS-ISO 15489-1:2002 defines a record as "information created, received, and maintained as evidence and information by an organization or person, in pursuance of legal obligations or in the transaction of business". This information can take any form (for example, written documents, metadata in a software program, audio- or video tapes, digital files on a DVD or CD, e-mails, social media and other forms), but is always connected to a business process. Conversely, if a record is missing, a business process or legal procedure cannot be fully reconstructed.

## 6. Policy Content

### 6.1 *Obligations of Record Users*

All Victor Harbor Horse Tram Authority staff have a responsibility to ensure records are created, captured and managed.

The records and information of the Authority will be managed in accordance with relevant legislation and regulations, Authority approved policies, guidelines and procedures, reflecting best practice standards.

The Authority is committed to capturing and preserving records and information that is of significant historical or cultural value to Victor Harbor and the State.

### **6.2 Records Security**

The Horse Tram Authority is committed to ensuring access to data and information is one of openness and transparency, while ensuring that access to sensitive and personal information is handled responsibly.

### **6.3 Disposal of records**

Records will be retained and disposed of according to the approved records disposal schedule and Normal Administrative Practice.

## **7. Risk Management**

This Policy addresses legislative risk and promotes a consistency in the creation, storage and access of records, in order to prevent unauthorised access, destruction, alteration or removal of Authority records.

## **8. Implementation/Delegations**

The Victor Harbor Horse Tram Authority General Manager is the delegated authority to implement this Policy.

## **9. Related Documents**

Charter of the Victor Harbor Horse Tram Authority  
Records Management Procedures – Victor Harbor Horse Tram Authority  
What is a Record – Fact Sheet  
Records File Structure Document – Victor Harbor Horse Tram Authority

## **10. Availability of Policy**

This policy is available on Victor Harbor Horse Tram website at [www.horsedrawntram.com.au](http://www.horsedrawntram.com.au). It may also be inspected or purchased at the Principal Office of the City of Victor Harbor, 1 Bay Road, Victor Harbor.

### **Document History**

<b>Version</b>	<b>Document</b>	<b>Action</b>	<b>Date</b>
1.0	Approved version	Victor Harbor Horse Tram Authority endorsement VHHTA008	3/12/18