



OFFICIAL

Records Management Advice

Artificial Intelligence (AI) and Record Keeping

Introduction

This document provides State Records Office (SRO) guidance to identify risks and consideration for records and information created or affected by using Artificial Intelligence (AI).

The management of records created or affected by AI should form part of a State organisation's information and records management strategy that encompasses all information created or received as evidence of business activity.

This guidance aligns with the WA Government Artificial Intelligence Policy and Assurance Framework.

What is Artificial Intelligence?

“An engineered system that generates predictive outputs such as content, forecasts, recommendations, or decisions for a given set of human defined objectives or parameters without explicit programming. AI systems are designed to operate with varying levels of automation.” (Source: Western Australian Government Artificial Intelligence Policy).

Ethical Principles and Record Keeping

The use of AI should align with the policy requirements of the WA Government Artificial Intelligence Policy and Assurance Framework and other legislative requirements.

AI technologies require ethical frameworks to work within, and human oversight, to ensure that:

- bias or harm does not occur
- content provided is accurate and not misleading
- malicious activity does not result from its use
- fundamental human rights are not impaired
- personal or sensitive information is not at risk.

AI and record keeping

Comprehensive record-keeping is essential for transparency, compliance, and effective management of AI-related activities.

Capturing records related to the use of AI in business activities

As per section 3(2) of the State Records Act 2000, record keeping should document the use of AI in business activities of the organisation. This should include records related to design, testing, implementation, system evaluation and decommissioning. The managing of the digital information should comply with the State Records Commission Standards.

Consider the following points:

- **Technology/Software/Application Employed:**
 - Record the specific technology, software, or application used in AI-related processes.
 - Explain the purpose, functionality, and relevance of employing this technology.
- **Generated Records**
 - Describe the records intended to be produced as a result of AI activities.
 - Include details about the content, format, and context of these records.
 - Documents or records generated with use of AI should include a user warning / notice.
- **Data Sources:**
 - Identify the sources of data accessed, used, inferred, or obtained by AI systems.
 - Identify the purposes of using the data sources.
 - Specify how this data contributes to the overall records.
- **Exclusions and Reasons:**
 - Clearly state which records or data should not be accessed or used.
 - Provide reasons for exclusions, such as confidentiality, personal privacy, or security concerns.
- **Addressing Issues:**
 - Discuss potential issues related to bias in algorithms and data sets.
 - Consider intellectual property rights (including copyright) and the risk of incorrect content due to the incorrect interpreting of data that misrepresents reality or factual information known as AI “hallucinations.”
- **Risk Assessment:**
 - Evaluate risks associated with AI implementation.
 - Incorporate information classification considerations to ensure authorised disposal practices and proper handling of records.

All records created by or through the use of AI in State organisations must be kept in accordance with the State Records Act 2000, and principles and standards issued by the State Records Commission. The retention and disposal of these records would be aligned to the functional activity.

Use of AI in records management

AI has demonstrable benefit to government, community and cultural collections with the ability to interrogate and make contextual relationships within vast data sets at a rapid rate. It is optimal that these activities are undertaken under the control of an archivist or information management professional to provide maximum benefit to researchers and the community.

While AI can optimise or automate record keeping processes such as document classification and retrieval, these should be processes overseen by an appropriately skilled human being with relevant skills, knowledge, authority and documented line of responsibility to check and confirm the accuracy of records. In particular, the disposal of records process must have human oversight and be in line with the relevant retention and disposal authority(ies).

This ensures the integrity of AI records as evidence and their accessibility now and into the future.

Further information or advice:

Email: sro@sro.wa.gov.au

Related documents

WA Government Artificial Intelligence Policy and Assurance Framework

Active date

July 2024

Review date

July 2025

Sources

This records management advice is based on content developed by:

Public Record Office Victoria (PROV)

Archives New Zealand

The State of AI Governance in Australia report — published in 2023 by the University of Technology Sydney’s Human Technology Institute — includes examples of AI and how it is used.

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