



RECORDS MANAGEMENT POLICY

Adopted Date:	29 November 2011
Policy Number:	GRC 0054
Policy Type:	Administrative
Responsible Officer:	Director Community & Corporate Services
Department:	Community & Corporate

Version	Decision Number or CEO Approval	Decision Date	Status / History
1	GRC 0054	29 November 2011	Review November 2013
2	GRC 0054	Reviewed 2015 / 2016	Review January 2017
3	GRC 0054	Reviewed May 2017	Review July 2018
4	GRC 0054	Reviewed July 2018	Review July 2021
5	GRC 0054	Reviewed July 2021	Review July 2024

1. BACKGROUND

The purpose of this policy is to provide a framework for the management of the Goondiwindi Regional Council's (Council) corporate records in accordance with best practice, relevant legislation and standards and guidelines approved by Queensland State Archives.

Legislation requires full and accurate records of all activities and decisions of Council are created, managed and retained or disposed of appropriately. This policy sets out the principles and responsibilities to promote information accessibility and accountability while ensuring the protection of the rights and interests of Council, Council staff, Council customers and the community.

2. SCOPE

This policy applies to all Council staff, including councillors, contractors, consultants and volunteers, in their conduct of official business for Council. This policy applies to all record types that capture evidence of Council's day to day business activities, in all formats, including electronic records.

This policy covers:

- Records in all formats including paper, email and electronic format.
- Records kept by or in any section of the Council.
- Records created by staff in their day-to-day business activities as well as records received by staff during the course of business.
- Records created, stored and accessed through any information system or recordkeeping system.
- Records created, kept, used and controlled by outsourced or shared service providers.

3. POLICY STATEMENT

Council seeks to ensure that records generated in the conduct of business activities of Council are adequately created, captured and managed through their life cycle in accordance with best practice and legislative requirements within the context of Council's principle records management system MAGIQ as well as all other records and systems including but not limited to Practical, various databases and hardcopy records that capture evidence of business activity.

Council recognises that systematic records management is fundamental to operational efficiency, the delivery of quality and timely services to the community and to good governance.

Good record keeping practices not only supports Council staff in meeting their legal obligations but it also supports Council's strategic and business objectives. By creating, capturing and maintaining full and accurate records Council is able to:

- Facilitate information accessibility and enhance business by supporting program delivery, management and administration;
- Deliver customer services in an efficient, fair and equitable manner;
- Provide evidence of actions and decisions and precedents for future decision making; and
- Protect the rights and interests of Council, staff, customers and the community.

Council acknowledges that management support and appropriate resourcing are critical for enabling personnel to fulfil their recordkeeping obligations.

3.1 Policy Requirements

- a) Council must ensure records management is supported at all levels of the business.
- b) Council must systematically manage records using governance practices that are integrated and consistent with broader Council frameworks
- c) Council must create complete and reliable records
- d) Council must actively manage permanent, high-value and high-risk records and information as a priority.
- e) Council must make records discoverable and accessible for use and re-use
- f) Council must dispose of records in an planned and authorised way

3.2 Records Management Program

Council's Records Management Program will include the following areas:

Strategic – ensure that records management addresses policy and procedures, business continuity (vital records), compliance auditing, outsourcing and training aspects.

Operational – ensure that records which are evidence of business activity are adequately created, captured, described, retained and stored in a manner that meets obligations under relevant legislation.

Technical – ensure that records which are evidence of business activity are adequately managed through a legally compliant records management system.

Staff – ensure that the Records Management Program is adequately resourced by appropriately experienced records management staff.

3.3 Staff Responsibilities

Council requires all staff, councillors, contractors, consultants and volunteers, in their conduct of official business for Council to comply with its recordkeeping policies, procedures and guidelines ensuring that full and accurate records are created, captured and maintained for legislative and accountability purposes. Council will provide training and support, as appropriate, to ensure this compliance.

a) Chief Executive Officer

Council's Chief Executive Officer has a duty to ensure Council creates and preserves full and accurate records for legislative and accountability purposes. The authority for this responsibility is derived from the *Public Records Act 2002* and includes:

- Accounting for recordkeeping and recordkeeping systems to Ministers, Parliament and others as required;
- Ensuring that recordkeeping requirements are included in all business processes undertaken by the public authority;
- Providing appropriate resources to maintain recordkeeping systems and processes;
- Taking all reasonable steps to implement recommendations made by the State Archivist; and
- Actively promoting and supporting a positive recordkeeping culture throughout Council.

b) Directors/Managers

Council Directors/Managers have the day to day responsibility for ensuring records relating to their business units or processes are appropriately created, captured, utilised and maintained. In addition to the responsibilities that apply to all staff, managerial personnel are tasked with ensuring that:

- All staff within their directorate/business units are aware of the Council's policy and procedures regarding recordkeeping and managing information;
- Recordkeeping responsibilities are assigned;
- Recordkeeping systems underpin and support business processes;
- Recordkeeping is fully supported within the organisation; and
- There is no unauthorised disposal of records.

c) Records Management Staff

The records management staff are responsible for providing, establishing and maintaining recordkeeping systems and controls, and providing training advice and guidance on recordkeeping matters.

Records management staff are tasked with leading Council's Records Management Program by:

- Developing, implementing, administering and maintaining recordkeeping systems;
- Identifying recordkeeping requirements in consultation with business units;
- Providing training and education in relation to recordkeeping requirements to staff;
- Establishing strategies, plans, procedures and guidelines to ensure that all records are created, captured, managed and utilised effectively and efficiently;
- Developing, implementing, maintaining and reviewing recordkeeping controls and tools such as the business classification scheme, naming conventions and subject index;
- Monitoring and managing the capture and distribution of all incoming correspondence received via Council's postal address LMB 7 Inglewood Qld 4387; and via Council's outlook email address mail@grc.qld.gov.au in compliance with legislative requirements and organisational records management policy, procedures and guidelines;

- Managing retention and disposal of public records in accordance with retention and disposal authorities approved or issued by Queensland State Archives;
- Identifying and managing vital records; and
- Establishing disaster preparedness and recovery procedures for all records (including digital records).

d) All Staff

Each Council staff member is responsible for creating and registering records that are evidence of business activity (inclusive of e-mails). All staff have the following obligations regarding recordkeeping:

- To comply with Council's recordkeeping policies, procedures and guidelines, ensuring that full and accurate business records are created, captured and maintained for legislative and accountability purposes;
- To capture business records into approved recordkeeping or business systems;
- To ensure the safe custody of all files and documents allocated to them;
- To protect Council's business records and sensitive client information from unauthorised access or disclosure; and to securely store such records / information in an appropriate manner to safeguard information privacy and confidentiality;
- To ensure that all records created and captured into Council's records management system are correct, up-to date and where required;
- They must not interfere with, alter or destroy any record or document in the possession of, or under the control of Council without the authority of the authorised manager and/or director in line with the retention and disposal schedule;
- They must not remove any record or document in the possession of, or under the control of Council without the authority of the authorised manager and/or director.
- To participate in training and development activities delivered by the records management team to maintain a working knowledge and understanding of Council's records keeping practices.

e) Information System Custodians

Information system custodians are responsible for ensuring the accessibility and evidential integrity through time of records held in business information systems other than MAGIQ where such systems are the primary record of the business activity. This responsibility includes the requirement to ensure that the appropriate archiving / migration of the system records from redundant systems is managed. The management of records made, kept, controlled and utilised in information systems other than MAGIQ, must be undertaken in accordance with the Standards and Guidelines issued by the State Archivist under the *Public Records Act 2002* and related Council policies.

3.4 Retention

The Queensland State Archives General Retention and Disposal Schedule for Administrative Records, authorised under Section 26 of the *Public Records Act 2002* is to be used across all Council locations. All records must be protected, maintained and accessible for their entire retention period. In cases where the Queensland State Archives Retention and Disposal Schedules do not cover line of business operations, then relevant Council Departments in consultation with Records Management Staff are to develop relevant schedules for approval by the Queensland State Archives. All schedules must be inclusive of vital records.

3.5 Archiving and Disposal Schedule

All records must be archived and held for their retention period. At the expiration, records will be disposed of as per the *Public Records Act 2002*. Processes to dispose of a record include: deletion or destruction, migration of records between record keeping systems, the transfer of custody or ownership of the record.

3.6 Monitoring and Compliance

There will be ongoing monitoring of compliance with this policy, legislative requirements and procedures. There will be an auditing and review process for Council's Records Management systems. These audits cover both macro and micro level operations as follows:

- **Macro** (department/organisation) – across all departments and associated systems to ensure appropriate records are being captured into records information systems as opposed to e-mail / shared drive.
- **Micro** (system) – review record fields entered into records management systems; key fields include description (precis), index classification scheme, security code, quality of digital images, date of registration and name of author, retention schedules.

3.7 Breaches

Non-compliance with this policy may result in a breach of Council's Code of Conduct.

4. LEGISLATIVE COMPLIANCE AND RECORD KEEPING REQUIREMENTS

Legislative Context:

It is noted that the following list is not exhaustive; it is the responsibility of managers / directors to examine legislation and government directions, which govern their business activities and ensure that records arising from these activities conform with recordkeeping requirements.

- *Local Government Act 2009*
- *Local Government Regulation 2012*
- *Public Records Act 2002*
- *Information Privacy Act 2009*
- *Human Rights Act 2019*
- *Right to Information Act 2009*
- *Freedom of Information Act 1982*
- *Freedom of Information Amendment (Reform) Act 2010*
- *Information Standard 40: Recordkeeping*
- *Information Standard 31: Retention and Disposal of Public Records*
- *Information Standard 34: Metadata*
- *Information Standard 18: Information Security*

Other Recordkeeping Requirements:

- Local Government Sector Retention and Disposal Schedule QDAN 480v.4
- General Retention and Disposal Schedule GRDS
- GRC Code of Conduct
- GRC Policy 0045 – Information Privacy Policy
- GRC Policy 0046 – Information Security Policy
- GRC Policy 0024 – Information Technology Usage
- GRC Business Rules for Records Management
- GRC Business Classification Scheme

5. DEFINITIONS

Disposal

Covers the range of processes associated with implementing record retention, destruction or transfer decisions, which are documented in disposal authorities or other instruments. These include the retention, deletion or destruction of records in or from recordkeeping systems. They may also include the migration or transmission of records between recordkeeping systems, and the transfer of custody or ownership of records.

Information Systems

Organised collections of hardware, software, supplies, policies, procedures and people, which store, process and provide access to information.

Public Record

A record received or kept, made for use by, or a purpose of, a public authority in the exercise of its statutory, administrative or other public responsibilities or for a related purpose. Includes Councillor records, the management of which are dealt with under a separate policy.

Recordkeeping systems

Any information systems, which capture, maintain and provide access to records over time. They include electronic document and records management systems and business systems such as financial management systems that fulfil the requirements of a recordkeeping system as identified in the Standards and guidelines issued by the State Archivist under the Public Records Act 2002.

Records

The documented evidence and information relating to the business decisions and actions undertaken by Goondiwindi Regional Council. All of Council's records are 'public records' under the Public Records Act 2002. Accordingly, records may be physical, digital or a mixture. They may be copies or originals.

Records management

The field of management responsible for the efficient and systematic control of the creation, receipt, maintenance, use and disposition of records including processes for capturing and maintaining evidence of, and information about, business activities and transactions in the form of records.

Records Management Program

Encompasses the management framework, people and systems required within an organisation to manage full and accurate records over time.

6. POLICY REVIEW DATE

January 2024

7. ATTACHMENTS

Nil