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| Policy Title: | Records Management |
| Policy No: | 236 |
| Policy Subject: | Records Management |
| Directorate: | Corporate Services |
| Department: | Records |
| Responsible Officer: | Director of Corporate Services |
| Authorised by: | North Burnett Regional Council |
| Adopted Date: | Planning & Policy Meeting – 03/07/2012 |
| Review Date: | 03/07/2014 |

Authorities:

PURPOSE:

The purpose of the Records Management Policy is to ensure that full and accurate records of all activities and decisions of the North Burnett Regional Council are captured, managed and retained and disposed of appropriately in accordance with relevant legislation through suitable recordkeeping practices.

DIRECTION STATEMENT:

Council is committed to implementing best records management practices and systems to ensure the creation, maintenance and protection of accurate and reliable records. All practices concerning recordkeeping within this organisation are to be in accordance with this policy and its supporting procedures.

SCOPE:

This policy applies equally to all units of North Burnett Regional Council including elected councillors, employees, contractors, consultants and or agents engaged by Council from time to time. The policy covers all aspects of Council's operations, including all records received or created in any format to support North Burnett Regional Council's business activities and all business applications used to create, manage and access records.

LEGISLATION AND STANDARDS:

Council acknowledges the following laws that relate to records and information:

- Public Records Act 2002
- Local Government Act 2009
- Information Standard 31: Retention and Disposal of Public Records (IS31)
- Information Standard 40: Recordkeeping (IS40)
- Right of Information Act 2009
- Information Privacy Act 2009

RECORDKEEPING SYSTEMS:

Council's record management systems are dedicated to the creation and maintenance of authentic, reliable and usable records for as long as they are required to effectively and efficiently support Council functions and activities.

The recordkeeping systems will manage the following processes:

- The creation/capture of records in the recordkeeping system (infoXpert & Civica by using Council classification structure, refer Records Management Procedures)
- The storage of electronic and paper based records
- The security of records
- Access to records in accordance with the Public Records Act 2002.
- The disposal of records in accordance with the *General Retention and Disposal Schedule for Administrative Records* and or *Local Government Sector Retention and Disposal Schedule* set by Queensland State Archives.

SECURITY:

The Chief Executive Officer in conjunction with the Records Coordinator have overall control of records security, and the security grading of all users covered by this policy. Security grading is an essential part of Council operation due to the nature of different records in Council control to preserve confidentially.

STORAGE:

The Records Coordinator will ensure all Council's paper based records are stored, retained and disposed of in accordance with the *General Retention and Disposal Schedule for Administrative Records* and or *Local Government Sector Retention and Disposal Schedule* set by Queensland State Archives, and the *Public Records Act 2002*.

Council's Department of Information and Technology are to ensure that all systems and procedures associated with the capture and ongoing management of digitised images can maintain the accuracy, authenticity and reliability of the images for as long as they are required to be retained under *General Retention and Disposal Schedule for Administrative Records* and or *Local Government Sector Retention and Disposal Schedule* set by Queensland State Archives.

DISASTER PREPAREDNESS

To help alleviate the scale of damage that can occur in a natural disaster or man made disaster, all original paperwork is registered into the Council electronic Document Records Management System (eDRMS) infoXpert [as per Records Management Procedures]. Once registered, the Records Department retains documents in archive boxes in a weather proof location to minimise record loss. All digitised records are backed up on Council's server and daily backups are stored off premises. Were Council premises to become badly effected by a disaster, the premises would then be in the control of Emergency Services until the premises are safe to re-enter. In the case of badly damaged records that cannot be retrieved from the digitised backup, the Records Coordinator would make contact with Queensland State Archives' Preservation Services Section for assistance and advice.

RIGHT TO INFORMATION:

The Right to Information Act 2009 establishes a right to information for members of the public. Under this legislation, the public will have a statutory right to access information held by Council unless, on balance, release of the information would be contrary to the public interest.

The Right to Information Officer in conjunction with the Director of Corporate Services, will have control of Right to Information Requests and decision making. The Right to Information Act replaces the Freedom of Information Act 1992.

INFORMATION PRIVACY:

The Information Privacy Act 2009 provides safeguards for the handling of personal information held in public sector environment and provides a mechanism for people to access and amend their personal information. The Information Privacy Act 2009 Chapter 3 replaces the Freedom of Information Act 1992.

The Privacy Contact Officer is responsible for the control of Information Privacy requests, amendments and implementation of the framework necessary to ensure Council compliance.

RESPONSIBILITIES:

Elected Members

The Local Government Act 2009 does not require elected members to keep records of casual conversations or discussions. If an elected member feels that a record should be made, it is done so at their discretion, and if appropriate, should be forwarded to Council's Records Department. Political and personal records of elected members are exempt.

Chief Executive Officer

In accordance with Section 13(3)(f) of the Local Government Act 2009, the Chief Executive Officer is to ensure 'the safe custody of (i) all records about the proceedings, accounts or transactions of the local government or its committees; and (ii) all documents owned or held by the local government'.

The Chief Executive Officer shall:

- authorise the Record Management Policy
- provide sufficient support and resources for ensuring a successful records management program; and
- promote compliance of the Records Management Policy to elected members, directors, staff and contractors.

Directors/Managers

All Directors/Managers are to ensure the records management policy and procedures are known and adhered to within their area of responsibility and to ensure that all new staff are inducted as to their record keeping responsibilities.

Records Coordinator/Records Team

The Records Coordinator/Records Team is responsible for overseeing the design, implementation, and maintenance of this Records Management Direction, as well as monitoring compliance.

All Staff (including councillors, consultants and contractors)

All staff including councillors, consultants and contractors, adhere to Council's records management policy and procedures in keeping records that document their daily work, and specifically create and capture records into identified recordkeeping systems ie. infoXpert.

MONITOR AND REVIEW:

All users covered by this direction will be monitored on a regular basis by the Records Coordinator. This policy will be scheduled for an annual review which will be conducted by an internal audit committee established by the Records Coordinator and the Chief Executive Officer.

Retention/Disposal of Records – Council is required to manage and preserve records to ensure they are accessible and unalterable for their required retention period as per the General Retention and Disposal Schedule for Administrative Records and Local Government Sector Retention and Disposal Schedule set by Queensland State Archives. For records in electronic formats, this may involve migrating records to new formats, or maintaining basic technical infrastructure to support records which remain

in decommissioned business systems. For hard copy records, this may involve providing ongoing storage spaces which protect public records from damage from pests and environmental hazards. (*National Archives of Australia*)

All records are to be disposed of in accordance with the Public Records Act 2002 and relevant disposal authorities.

GLOSSARY:

The following definitions have been mainly drawn from either the Public Records Act 2002, National Archives of Australia, or Australian Standard (AS 4390):-

Accurate - to reflect the transactions that they document. (*National Archives of Australia*)

Appraisal/Appraise - The process of evaluating records to determine which are to be retained as archives, which are to be kept for specified periods and which will be destroyed. (*AS 4390 Part 1 Clause 4.3*)

Authentic – enabling proof that they are what they intend to be and that their intended creators did indeed create them. (*National Archives of Australia*)

Business Activities – is an umbrella term covering all the functions, processes, activities and transactions of Council and its employees. (*AS 4390 Part 1: Clause 4.6*)

Capture – is a deliberate action which results in the registration of a record into a recordkeeping system. For some of Councils activities, this action may be designed into electronic systems so that the capture of records is concurrent with the creation of records. (*AS 4390 Part 1: Clause 4.7*)

Create – the act of making a record (evidence) of business transactions. (*National Archives of Australia*)

Destruction - The process of eliminating or deleting records beyond any possible reconstruction. (*National Archives of Australia*)

Disposal – the destruction of a record including destroying or damaging the record, or part of it; or abandoning, transferring, donating, giving away or selling the record, or part of it. (*Public Records Act 2002*)

Public Record – the term ‘public record’ refers to the documentary, photographic, electronic, or other records of a public authority. It includes anything created, received or kept by Council in the exercise of its statutory administrative or other public responsibilities. For example: The minutes of a council meeting, rate notices, dog registrations, internal memoranda, emails that provide evidence of Council conducting business activities, making decisions, or carrying out transactions. A public

record may also include a copy of part of a document or record. (*Public Records Act 2002*)

Record Keeping – Making and maintaining complete, accurate and reliable evidence of business transactions in the form of recorded information. (*AS 4390 Part 1: Clause 4.19*)

Retain - The disposal action for records appraised as having archival value. This means that the records should be transferred to Queensland State Archives as soon as they are no longer required for business use. (*National Archives of Australia*)

Record – means recorded information created or received by an entity in the transaction of business or the conduct of affairs that provides evidence of the business or affairs and includes:

- (a) Anything on which there is writing; or
- (b) Anything on which there are marks, figures, symbols or perforations having a meaning for persons, including persons qualified to interpret them; or
- (c) Anything from which sounds, images or writings can be reproduced with or without the aid of anything else; or
- (d) A map, plan, drawing or photograph. (*Public Records Act 2002*)

RESOURCES:

This statement is a list of resources used in the development of the North Burnett Regional Council Records Management Direction; these items can be referred to for further information:

- Local Government Act 2009 Section 13(3)(f)
- Public Records Act 2002 (Dictionary)
- Public Records Act 2002 (a plain English guide by Queensland State Archives)
- Information Standard 31: Retention and Disposal of Public Records (IS31)
- Information Standard 40: Recordkeeping (IS40)
- General Retention and Disposal Schedule for Administrative Records (Queensland State Archives)
- Local Government Sector Retention and Disposal Schedule (Queensland State Archives)
- North Burnett Regional Council Records Management Procedures
- National Archives of Australia (How to Develop a Recordkeeping Policy 2004)
- AS (Australian Standard) 4390, Part 1 Clause 4