

# 236 Information and Records Management

## General Policy



### PURPOSE

To ensure that full and accurate records of all activities and decisions of Council are captured, managed and retained and disposed of appropriately in accordance with relevant legislation through suitable recordkeeping practices.

### SCOPE

This policy covers all aspects of Council's operations and applies equally to all sections of Council including elected councillors, employees, contractors, consultants and agents engaged by Council.

The policy applies to all records received or created in any format, including both physical and electronic records, as well as emails.

All practices concerning recordkeeping within Council are to be in accordance with this policy to ensure the creation, maintenance and protection of accurate and reliable records.

### POLICY STATEMENT

#### 1.0 RECORDKEEPING SYSTEMS

##### 1.1 MagiQ Documents

Council's primary records management system, MagiQ Documents, is the internal recordkeeping system where all corporate administrative records are captured and stored. All of Council's records must be created and maintained within the preferred records management systems. Records must not be stored and/or maintained in network drives (other than for reasons stated below), local hard drives, electronic mail boxes (Outlook, PST files) or other storage devices. These electronic storage facilities do not contain recordkeeping functionality to ensure records are captured and managed in accordance with sound recordkeeping principles.

While MagiQ Documents constitutes Council's preferred primary recordkeeping system for all corporate administrative records, there are a number of other information systems, databases, software applications and paper based systems which operate outside MagiQ Documents and function as recordkeeping systems. These include MagiQ Enterprise, Guardian and Aurora.

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. Records are maintained for as long as they are required to effectively and efficiently support Council's business functions and activities.

Council's recordkeeping systems manage the following processes:

- a) Creation and capture of records;
- b) Storage of records;
- c) Protection of record integrity and authenticity;
- d) Security of records;
- e) Access to records; and
- f) Disposal of records in accordance with retention and disposal schedules.

##### 1.2 C Drive and Local Files

No files are to be stored locally on C drives. The exception to this is locally installed applications which are approved by ICT staff, examples include; MetroCount, PDA software etc. This data isn't backed up and must be copied to an appropriate location on the network as soon as possible.

### **1.3 P Drive**

Each staff member will be given access to a “Personal” network drive which will be mapped as P: and referred to as “P Drive”. P Drives will be limited to 200Mb per staff member. This personal drive is to be used to temporarily store work related files.

There are several system folders which are located in staff member’s P Drives, which shall not be modified by the staff member. These are: “Desktop”, “My Documents” and “Windows”. The contents of “Desktop” and “My Documents” may be used as they normally would.

### **1.4 Dataset Information**

The large data sets, such as the MapInfo GIS files will be stored on separate network shares where appropriate: G Drive for GIS data and I Drive for media files. Due to the nature of these files, they will not be subject to the six monthly audit process or the requirement to be saved into MagiQ Documents. They do however fall under the other security, accessibility and replication/duplication requirements.

### **1.5 Media Library**

The network drive will be mapped as I: and will be referred to as “I Drive”. I Drive will be set in a predefined structure. Staff will not be able to change this structure; however they will be able to add sub-folders to the third level folders in the structure within reason. Sub-folders are only to be created where absolutely necessary, and where images doesn’t logically fit anywhere in a higher level folder.

Staff are not permitted to create folders named after staff members; for example a folder named “John” is not permitted. Staff are not permitted to duplicate other sections of I Drive in sections of I Drive to which they have access. Sub-folders are not to replicate higher level folder structures; for example a folder named “Council Meetings” is not to contain a folder called “Meetings”.

### **1.6 Email**

The email system is part of Council’s corporate knowledge and as such comes under the same requirements as other files.

Emails are not to be used for sharing documents internally as attachments. If a document needs to be accessed by other staff members, it needs to be saved MagiQ Documents and task assigned to the appropriate staff member, or email the MagiQ Documents URL.

### **1.7 Backup Information**

As part of the server management, all data is backed up every night. There is no need for staff to create copies of files for backup purposes, and as such staff are not permitted to do so. If found, files duplicated for “backup” purposes will be deleted.

### **1.8 Security**

In accordance with Section 7(1)(a) of the *Public Records Act 2002*, the Corporate Services Manager and Records Stream Leader have the power to ensure Council makes and keep records of its activities. This includes the security grading of all users covered by this policy and each document to preserve confidentially.

## **2.0 RECORDKEEPING RESPONSIBILITY**

### **2.1 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 Executive Support Team. Political and personal records of elected members are exempt.

### **2.2 Chief Executive Officer**

The Chief Executive Officer shall promote compliance of this policy to elected members, General Managers, staff and contractors.

In accordance with Section 13(3)(e) of the *Local Government Act 2009*, the Chief Executive Officer is to ensure ‘the safe custody of:

- a) all records about the proceedings, accounts or transactions of the local government or its committees; and
- b) all documents owned or held by the local government'.

### **2.3 General Managers**

All General Managers are to ensure this policy is known and adhered to within their area of responsibility and to ensure that all new staff are inducted as to their record keeping responsibilities.

### **2.4 Corporate Services Team**

The Corporate Services Team is responsible for overseeing the design, implementation, and maintenance of this policy, as well as monitoring compliance.

### **2.5 All Staff (including councillors, consultants and contractors)**

All staff including councillors, consultants and contractors, adhere to this policy in keeping records that document their daily work, and specifically create and capture records into identified recordkeeping systems i.e. MagiQ Documents. If personal email or phones are used for work purposes these documents/conversations should also be recorded into the recordkeeping system.

## **3.0 MANAGEMENT OF RECORDS**

### **3.1 Retention and Disposal**

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*)

The disposal of records must be in accordance with the *Public Records Act 2002* and relevant disposal authorities.

### **3.2 Storage**

The Records Stream Leader 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 section of Information, Communication 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.

### **3.3 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); MagiQ Documents. 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.

If Council premises to become badly affected 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 Stream Leader would make contact with Queensland State Archives' Preservation Services Section for assistance and advice.

## **4.0 RIGHT TO INFORMATION**

### **4.1 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/Information Privacy Officer in conjunction with the General Manager of Corporate and Community, will have control of Right to Information Requests and decision making. The *Right to Information Act 2009* replaces the Freedom of Information Act 1992.

#### 4.2 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 Right to Information/Information Privacy Officer is responsible for the control of Information Privacy requests, amendments and implementation of the framework necessary to ensure Council compliance.

## RELEVANT LAW

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

- *Local Government Act 2009*
- *Public Records Act 2002*
- *Right of Information Act 2009*
- *Information Privacy Act 2009*

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)(e)
- *Public Records Act 2002*
- *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)
- *National Archives of Australia* (How to Develop a Recordkeeping Policy 2004)
- AS (Australian Standard) 4390, Part 1 Clause 4

## RELATED POLICIES AND PROCEDURES

Nil

## DEFINITIONS

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

Term	Definition
<i>Accurate</i>	to reflect the transactions that they document. ( <i>National Archives of Australia</i> )
<i>Appraisal/Appraise</i>	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. ( <i>AS 4390 Part 1 Clause 4.3</i> )
<i>Authentic</i>	enabling proof that they are what they intend to be and that their intended creators did indeed create them. ( <i>National Archives of Australia</i> )
<i>Business Activities</i>	is an umbrella term covering all the functions, processes, activities and transactions of Council and its employees. ( <i>AS 4390 Part 1: Clause 4.6</i> )
<i>Capture</i>	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

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designed into electronic systems so that the capture of records is concurrent with the creation of records. (AS 4390 Part 1: Clause 4.7)

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<i>Create</i>	the act of making a record (evidence) of business transactions. (National Archives of Australia) <b>Destruction</b> - The process of eliminating or deleting records beyond any possible reconstruction. (National Archives of Australia)
<i>Disposal</i>	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)
<i>Public Record</i>	– 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, text messages, instant messages, social messages, 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)
<i>Record Keeping</i>	Making and maintaining complete, accurate and reliable evidence of business transactions in the form of recorded information. (AS 4390 Part 1: Clause 4.19)
<i>Retain</i>	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)
<i>Record</i>	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. Records are based on content, not just the format used or location found in 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)

## APPROVAL

Council approved this policy on 15 August 2018.

## REVIEW

This policy will be reviewed every two years by Corporate Services Manager, Corporate and Community and is due for review in August 2020.

## REVISION HISTORY

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<b>Version</b>	<b>Meeting</b>	<b>Date</b>	<b>History</b>
1	Planning & Policy	03/07/2012	New policy
2	General	15/08/2018	Revision