



Gladstone Regional Council

Council Policy

Title	RECORDS MANAGEMENT
Policy Number	P-2014/21
Responsible Directorate	CORPORATE AND COMMUNITY
Responsible Officer	RECORDS COORDINATOR
Date of Adoption	18 MARCH 2014
Resolution Number	G/14/1926
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1.0 PURPOSE:

This Policy seeks to ensure that records generated in the conduct of business activities of Gladstone Regional Council are adequately created, captured and managed through their life cycle in accordance with best practice and legislative requirements within the context of Gladstone Regional Council's principle records management system Enterprise Content Management (ECM) as well as all other records and systems including but not limited to Pathway, various databases and hardcopy records.

2.0 SCOPE:

2.1 Business Activity

This Policy applies to all records created, received and managed by Gladstone Regional Council staff as well as contracted service providers operating across all locations in the conduct of business on behalf of Gladstone Regional Council.

2.2 Record Types

This Policy applies to a range of record types that capture evidence of business activity.

2.3 Formats

This Policy applies to records in all formats. These formats include (but not exclusive to) paper, electronic (including e-mail).

2.4 E-mail Management

E-mail has the same evidentiary weight as any other document capturing information pertaining to the conduct of Gladstone Regional Council business.

E-mail is to be captured in an appropriate records management system in context with other related documents pertaining to business activity.

3.0 RELATED LEGISLATION:

- Building Act 1975
- Electronic Transactions Act (Queensland) 2001
- Environmental Protection Act 1994
- Right to Information Act 2009
- Information Privacy Act 2009
- Health Act 1937
- Sustainable Planning Act 2009
- Judicial Review Act 1991
- Local Government Act 2009 (Qld)
- Local Government Regulation 2012
- Public Records Act 2002 (Qld)
- Water Supply (Safety and Reliability) Act 2008

4.0 RELATED DOCUMENTS:

- AS ISO 15489: Australian Standard for Records Management
- Queensland State Archives (QSA) IS31: Retention and Disposal of Public Records
- Queensland State Archives (QSA) IS40: Recordkeeping
- Recordkeeping Improvement Project Final Report - 31 January 2013
- Departmental Recordkeeping Guides - 2013
- Gladstone Regional Council Digitisation Disposal Policy & Procedure - July 2010
- Mayor and Councillors Records Management Policy & Guidelines - October 2010
- Records Management Unit Cheat Sheets/Reference Guides

5.0 DEFINITIONS:

To assist in interpretation of this policy the following definitions apply:

- **Business Classification Scheme (BCS)** - means a mapping of the functions and activities of the agency derived from the analysis of business activity, containing terms and scope notes that represent and describe functions, activities, transactions or other elements and show their relationships. The structure of the scheme is hierarchical, moving from the general to the specific.
- **Document** - means recorded information or object which can be treated as unit. Some documents are records because they have been part of a business transaction, or were created to document such a transaction. Conversely, some documents are not records because they do no function as evidence of a business transaction.
- **Metadata** - means structured information that describes and/or allows users to find, manage, control, understand or preserve other information over time.
- **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
 - b) anything on which there are marks, figures, symbols or perforations having a meaning for persons, including persons qualified to interpret them
 - c) anything from which sounds, images or writings can be reproduced without the aid of anything else, or
 - d) a map, plan, drawing or photograph.

- **Recordkeeping** - means the act of making and keeping evidence and memory of government business in the form of recorded information.
- **Retention and Disposal Schedule** - means a document which is issued by the State Archivist authorizing the disposal of public records. It defines the temporary or permanent status, retention periods, disposal triggers, and consequent disposal actions authorized for classes of records described in it.
- **Vital Records** - means those records without which an agency could not operate. They contain information needed to re-establish the agency in the event of a disaster and satisfy ongoing core business responsibilities. Vital records are those which protect the assets and interests of the agency as well as those of its clients and stakeholders and are usually associated with legal and fiscal matters.

Source - Queensland State Archives – Glossary of Archival and Recordkeeping Terms Version 2.3 December 2010

6.0 POLICY STATEMENT:

6.1 INTRODUCTION

Good recordkeeping practices not only supports Gladstone Regional Council staff in meeting their legal obligations but it is also supportive of Gladstone Regional Council's strategic and business objectives.

By creating and capturing full and accurate records Gladstone Regional Council is able to work efficiently and effectively in supporting ongoing business activities and customer service, meet accountability requirements and community expectations.

6.2 RECORD MANAGEMENT PROGRAM

Gladstone Regional Council Records Management Program will include the following areas:-

- Strategic – ensure that records management addresses policy & 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.

6.3 STAFF BENEFITS

Good records management can provide the following benefits:

- *Risk Management* – mitigating risk by meeting compliance requirements;
- *Knowledge Management* – capturing staff knowledge for reuse and leveraging;
- *Change Management* - ensure better management of documents in times of staff change over and organisational restructures;
- *Business Processes* - support for policy formulation and managerial decision making as well as better performance of business activities in the Council.

Inadequate records management ultimately has a detrimental impact on GRC conduct of business. Examples of inadequate records management includes:

- *Compliance* - failure of employees or systems to make, capture, describe, store, archive records in appropriate records keeping systems leads to lack of compliance with legal and accountability requirements;
- *Cost & Time* – Increase costs associated with the storage, identification and retrieval of accurate records in a timely and cost effective manner;
- *Customer Service* – Inadequate recordkeeping impacts on the quality of services that is provided to stakeholders;
- *Knowledge Management* – the loss of intellectual capital documented through records with staff turnover and/or organisational restructure.

6.4 STAFF RESPONSIBILITIES

This policy will apply to the entire Gladstone Regional Council staff operating across all locations.

The Council requires all Councillors, staff and contractors to comply with its recordkeeping policies, procedures and guidelines. Council will provide training and support to ensure this compliance.

1. Executive

The Council Chief Executive Officer has a duty to ensure Gladstone Regional Council creates and preserves full and accurate records for legislative and accountability purposes.

2. Records Management Unit

Formal responsibility for the recordkeeping program will be delegated to the Records Management Unit. This role will include:

- Operationalise associated program, policies, procedures, audit and training programs;
- Establish, monitor and maintain standards for recordkeeping and records management across the Council as a whole;
- Manage ECM, other records systems and individual records and other information;
- Authorise the disposal of records in accordance with the Retention and Disposal Schedules; and
- Records Management staff are responsible for registering documents as well as e-mails from the inquiry address

3. Staff

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

- Create, capture, describe and store records to support the conduct of Council activities;
- Capture records into approved recordkeeping or business system;
- Do not destroy records without authority of the authorised personnel in conjunction with the Council CEO;

- Ensure safe custody of all files and documents allocated to them;
- Protect the privacy of personal information contained in Council records;
- Ensure all information contained in Gladstone Regional Council records is objectively expressed, correct, up-to-date and not misleading; and
- Comply with Records Management Policy and Procedures

6.5 RETENTION SCHEDULES

The Queensland State Archive Retention Schedules are to be used across all locations in the sentencing of all files. In cases where Queensland State Archives retention schedules do not cover line of business operations, then relevant Departments, in consultation with Records Services are to develop relevant schedules for approval by QSA. All Schedules must be inclusive of vital records.

6.6 AUDIT FOR COMPLIANCE

There will be ongoing audit and review of Records Management systems. These audits cover both macro and micro level operations. They are as follows;

- Macro (departments) – Across all Departments & associated systems to ensure appropriate records are being captured into records management system as opposed to e-mail / shared drive.
- Micro (system) – Review record fields entered into Records management systems key fields include; Description (précis), index assignation/classification scheme, security code, quality of digital images, date of registration and name of author, retention schedules.

7.0 ATTACHMENTS:

Nil

8.0 REVIEW TRIGGER:

This policy will be reviewed when any of the following occur:

1. The related legislation/documents are amended or replaced.
2. Other circumstances as determined from time to time by a resolution of Council
3. Periodic Review –3 years from date of adoption.

TABLE OF AMENDMENTS		
Originally Adopted	10 March 2009	09/131 (formerly Policy P-3.07.01)
Amendment 1	18 March 2014	G/14/1926

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STUART RANDLE
CHIEF EXECUTIVE OFFICER