



Blackall-Tambo

Regional Council

Recordkeeping Policy

Policy Number: Stat 50	Effective Date: 23/10/2019
Version Number: One	Review Date: 23/10/2020
Policy Compiled by: Chief Executive Officer	
Policy Approved by: Chief Executive Officer	

PURPOSE

The purpose of this procedure is to establish a framework for the creation and management of Blackall-Tambo Regional Council records.

SCOPE

This policy applies to Blackall-Tambo Regional Council Councillors, employees, contractors and volunteers who create or maintain records, business systems, database applications and business applications on behalf of Council.

This policy provides the overarching framework for any other corporate information, management policies, procedures or guidelines.

DEFINITIONS

Capture	A deliberate action which results in the registration of a record into a recordkeeping system.
CEO	Chief Executive Officer
Contractor	A person, organisation or entity that performs a specific act or acts including the provision of services and/or materials to another person, organisation or entity under an agreement enforceable by law.
Council	Blackall-Tambo Regional Council
Councillor/s	The Mayor and Councillors of Blackall-Tambo Regional Council.
Employee	Local government employee: (a) The chief executive officer; or (b) A person holding an appointment under section 196 of the <i>Local Government Act 2009</i> .
Recordkeeping system	An information system that captures, maintains and provides access to records over time.
Records/Public Records	Any form of recorded information, both received and created, that provides evidence of the decisions and actions of a public authority while undertaking its business activities.
Retention and Disposal Schedule	A legal document issued by the Queensland State Archivist to authorise the disposal of public records under the <i>Public Records Act 2002</i> .

Document #:	Date Effective: 23/10/19	Version: One	Page 1 of 6
-------------	--------------------------	--------------	-------------



Retention Period	The minimum period of time that records need to be kept before their final disposal as specified in an authorised retention and disposal schedule.
Volunteer	Any person, who of their own free will, offers to undertake un-paid work for Council and is accepted as a volunteer by the CEO and/or their authorised delegated.

Responsibilities

CEO

The CEO is responsible for ensuring Council’s compliance with the *Public Records Act 2002* and the principle and standard established by Queensland State Archives, and include;

- a) Accounting for recordkeeping and recordkeeping systems within Council to Ministers, Parliament and others as required;
- b) Assigning recordkeeping responsibilities within Council;
- c) Providing appropriate resources to maintain recordkeeping systems and processes;
- d) Ensuring recordkeeping systems are in place and produce complete and reliable records;
- e) Ensuring recordkeeping requirements are included in all business undertaken by Council;
- f) Taking all reasonable steps to implement recommendations made by the State Archivist;
- g) Actively promoting and supporting a positive recordkeeping culture throughout Council; and
- h) Ensuring employees, contractors and volunteers are aware of their recordkeeping responsibilities.

These responsibilities are delegated to relevant positions in accordance with the provisions set out below.

Information and Communication Technology

The Information Technology Services Unit shall:

- a) Provide the technical infrastructure required for recordkeeping;
- b) Provide technical support for the recordkeeping systems;
- c) Provide expert advice on information technology for recordkeeping strategies in an electronic environment;
- d) In partnership with Record Management employees; develop, manage and monitor the technical aspects of:
 - i. Records and systems migration strategies and procedures; and
 - ii. Regular backups for records and recordkeeping system and business systems that create and store records; and
- e) Manage the security mechanism for the protection from unauthorised access to information in electronic form.

Records Management Unit

The Records Management Unit shall:

- a) Develop and implement recordkeeping processes;



- b) Identify recordkeeping requirements in consultation with other organisational units;
- c) Consult with Queensland State Archives in relation to policy and Information Standards development;
- d) Make, keep and preserve complete and reliable records that document business transactions within compliant and accountable recordkeeping systems;
- e) Train Council employees in relation to recordkeeping obligations, processes and procedures;
- f) Ensure strategies and procedures exist to identify and locate records; and
- g) Identify and manage vital corporate records with regard to the relevant storage parameters and accessibility standards.

Managers and Supervisors

All managers and supervisors shall:

- a) Ensure complete and reliable records are made and captured into the relevant record and business systems that create and maintain records;
- b) Ensure recordkeeping systems underpin and support business processes and report any deficiencies; and
- c) Monitor employee, contractor and volunteer compliance with Council recordkeeping processes and practices.

Employees

The capture and recording of Council's records is the responsibility of all Council employees, including Council contractors and volunteers and includes the following:

- a) Create complete and reliable records of Council business in accordance with the *Public Records Act 2002*.
- b) Capture Council's records into the relevant recordkeeping system at the time of creation or receipt.
- c) Keep records for as long as they are required for business, legislative, accountability and cultural purposes.

Policy Statement

Council's records are its corporate memory and as such are a vital asset that support ongoing operations and provide valuable evidence of business activities over time. Council is committed to implementing best practice recordkeeping practices and systems to ensure the creation, maintenance and protection of accurate and reliable records.

Council recognises its regulatory requirements as a public authority under the *Public Records Act 2002*. It is committed to the principles and practices set out by the Queensland State Archivist standards and guidelines.

Complete and Reliable Records

Council's recordkeeping practices, processes and systems assist in making complete and reliable records. Complete and reliable records should be:

- a) **Created** to document and facilitate the transaction of Council business.
- b) **Captured** into the corporate recordkeeping systems.



- c) **Adequate** for the purposes for the purposes for which they are created and kept.
- d) **Complete** in content and maintain the structural and contextual information necessary to document a transaction.
- e) **Meaningful** with regards to information and/or linkages that ensure the business context in which the record was created and used is apparent.
- f) **Accurate** in reflecting the transactions, activities or facts that they document.
- g) **Authentic** in providing proof that they are what they purport to be and that their purported creators did actually create them.
- h) **Inviolable** through being securely maintained to prevent unauthorised access, alteration, removal or destruction.
- i) **Accessible** by being kept in a format that allows their continued use.
- j) **Useable** through being maintained so that they are identifiable, retrievable and available when needed.
- k) **Retained** for as long as they have administrative, business, legislative, historical and cultural value.
- l) **Preserved** by being stored, protected and maintained.

Protection of Records

Records are preserved and maintained over time for as long as required to meet administrative, legal, fiscal and archival requirements.

Access to Records

All records received or created within or on behalf of Council are official records that belong to Council and, subject to the considerations shown in this clause, are to be discoverable and accessible as authorised.

An employee’s level of access to records is relevant to:

- a) Position responsibilities and requirements;
- b) Level of delegated authority;
- c) Privacy considerations;
- d) Legal professional privilege;
- e) Commercial-sensitivity; and
- f) Other specific considerations where confidentiality restricts the normal rights of access to records.

Authorisation from the CEO may be required before access is granted.

Council is required to comply with legislation that permits access to its records by members of the public and authorised external agencies, or as part of a legal process such as subpoena. Enquiries or applications for access to Council’s records are considered in accordance with Council’s Right to Information Policy.

Retention and Disposal of Records

In general, it is an offence to destroy any public record without authorisation from the State Archivist. Unless otherwise authorised, all records must be maintained and disposed of in

Document #:	Date Effective:	Version:	Page 4 of 6
-------------	-----------------	----------	-------------



accordance with the Local Government Sector Retention and Disposal Schedule. This Schedule is used in conjunction with the General Retention and Disposal Schedule.

Retention of Records

Records must be appraised for possible continuing archival value. That is, records with legal, historical or cultural significance to Council and the community must be retained permanently in Council's Records Collections or State Archives.

Any records subject to legal processes, such as subpoena, or required for internal or external review or investigation or relevant to an application made under the *Right to Information Act 2009* must be protected and not destroyed even if the retention period has passed.

Disposal of Records without Reference to a Retention and Disposal Schedule

Ephemeral records (that is items of short-term temporary informational value that are not required to be kept of records) may be destroyed at any time without reference to a retention and disposal schedule. These records which may include announcements of social events, duplicate copies or extracts of documents kept only for reference, copies of circulars, forms etc, can be disposed of as part of normal office administrative practice.

Where the official version of a record is verified as being already maintained in Council's recordkeeping system a copy may be destroyed/disposed of, in the appropriate manner, at any time without reference to the Retention and Disposal Schedules.

Recordkeeping Systems

Council's primary recordkeeping system, Magiq, is the internal recordkeeping system where all corporate administrative records are captured and stored. Paper-based records received by Council are captured within the system through digital imaging.

Council's recordkeeping system is dedicated to creating and maintaining authentic, reliable and useable records which meet the needs of internal and external stakeholders. Records are maintained for as long as they are required to effectively and efficiently support Council's business functions and activities.

All of Council's records must be maintained within the preferred recordkeeping system. Records must not be stored in network drives (for example H drive) 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.

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 schedule.



CONFIDENTIALITY

Members and Officers shall deal with the content of Council's Electronic Document System (Magiq) in a confidential manner and shall not divulge information therein otherwise than in accordance with law and Council's current policies.

Council has a Confidentiality Policy, which states that unless required by law a person making a complaint shall have some security of mind that their personal details will be protected and not divulged.

BREACHES

Any continual breach of any part of this policy by an officer may culminate in that officer receiving an official reprimand from the Chief Executive Officer. Any repeated reprimands may result in the dismissal of the officer.