

Gladstone Regional Council

Corporate Standard

Title	RECORDS MANAGEMENT
Corporate Standard No.	CS-2023-01
Business Unit/s	FINANCE GOVERNANCE AND RISK
Date of Approval by CEO	
Date of Effect	
Review Date	
Date Repealed	

1.0 PURPOSE:

This corporate standard outlines how the business will make, manage, keep, and preserve complete and reliable records in an accountable and transparent manner.

2.0 SCOPE:

This corporate standard applies to all records, regardless of their format, which are created, received, or managed in undertaking the business's activities. This includes records created by contractors and volunteers.

Whilst this corporate standard may restate parts of relevant legislation to provide context for how the business applies the requirements of such, this corporate standard does not override the requirements of any relevant legislation and does not apply to the extent of any inconsistency.

3.0 RELATED LEGISLATION:

- *Electronic Transactions Act (Queensland) 2001;*
- *Human Rights Act 2019;*
- *Information Privacy Act 2009;*
- *Local Government Act 2009;*
- *Local Government Regulation 2012;*
- *Public Records Act 2002;*
- *Right to Information Act 2009.*

4.0 RELATED DOCUMENTS:

- Australian Standard AS ISO 15489 – Information and documentation – Records management;
- Business Documents and Frameworks Corporate Standard;
- Defensible Digitisation Process – Dispose of Physical Source Records After Digitisation;
- Queensland State Archives – Records governance policy;
- Queensland State Archives – What records do I need to keep;

- Queensland State Archives and Crime and Corruption Commission – Council records – A guideline for mayors, councillors, CEOs and council employees;
- Queensland State Archives Retention and Disposal Schedules;
- Records Management Advocate Group Terms of Reference;
- Business System User Guides.

5.0 DEFINITIONS:

To assist in interpretation of this corporate standard, the following definitions apply:

“Activity” means the major tasks performed by the business to accomplish each of its functions. An activity is a cohesive grouping of transactions producing a singular outcome.

“Administrative Release” means the release of information by means other than a formal access application under the *Right to Information Act 2009* or the *Information Privacy Act 2009*.

“Defensible Digitisation Process” means a process approved by the Chief Executive Officer or delegate that demonstrates a considered approach has been developed, documented, and is auditable or usable as evidence that all relevant conditions and requirements can be or have been met to ensure the digitised record is a clear, complete, and accurate version of the original source record.

“High Risk Record” means records that pose a significant risk to the business if they were misused, lost, damaged, or deleted prematurely. Not all high risk records are high value.

“High Value Record” means the records that the business could not or would have great difficulty operating without. All high value records are high risk.

“Leader” means the Executive Team, Managers, Team Leaders, and any other supervisory position that reports to a General Manager of the business.

“Permanent Record” means records that are produced or received by the business that are of enduring value to Queensland (i.e. Council meeting minutes).

“Personal Information” means information or an opinion, including information or an opinion forming part of a database, whether true or not, and whether recorded in material form or not, about an individual whose identity is apparent, or can reasonable be ascertained, from the information or opinion.

“Public Record” is defined in the *Public Records Act 2002*.

“Record” is defined in the *Public Records Act 2002*.

“Recordkeeping” means the act of making and keeping evidence and memory of business in the form of recorded information.

“Recordkeeping Business System Owner” means those employees who lead the ongoing system maintenance, operation, and development of an approved business recordkeeping system.

“Retention and Disposal Schedule” means a document issued by Queensland State Archives which provides the retention periods for public records and when disposal of those records is considered appropriate. It defines the temporary or permanent status, retention periods, disposal triggers, and consequential disposal actions authorised for classes of records described in it.

“Source Record” means a record that has been copied, converted, or migrated from one format or system to another. The source records are those that remain following the successful conversion or migration.

“Transaction” means the process resulting from undertaking a piece of business. A transaction is the smallest unit of business activity or work process considering an exchange between two (2) or more participants or systems.

“Vital Record” means records that the business could not continue to operate without and which would be needed to re-establish the business in the event of a disaster and satisfy ongoing core business responsibilities.

6.0 CORPORATE STANDARD STATEMENT:

6.1 Principles

Council will make and keep complete and reliable records of all activities by:

- being consistent in its application of the principles within the Queensland State Archives – records governance policy;
- clearly articulating recordkeeping responsibilities and requirements;
- embedding recordkeeping in all activities of the business;
- building the capability of our people through targeted training and supporting documentation;
- creating records that can be trusted and are accurate, authentic, and useable;
- ensuring those records that are the most important are actively managed and preserved;
- increasing the discoverability and accessibility of records and information;
- responsibly disposing of records in a planned and authorised way; and
- undertaking quality assurance and audits.

6.2 Creating a Record

A record must be created of all activities that contribute to the business’s transactions, activities, and decisions.

A record may be in any type or form, including:

- paper;
- email;
- diary
- photograph;
- video or surveillance;
- messages (i.e. text, messaging application, etc);
- presentation;

- social media posts and comments;
- sound recording;
- data entered into a business system; etc.

A record is also a draft, and subsequent versions, of any of the above.

Whilst a record may be in any form, it is not the form that constitutes a record. It is however the content (information) contained therein that requires a record to be made. For example, approval to enter an agreement with a third party is a record regardless of whether that approval is provided via Council resolution (minutes), email, or text.

6.3 Business Systems

Records are only to be stored in business systems that are approved for use.

6.3.1 Approved Recordkeeping Business Systems

The approved recordkeeping business systems are:

Approved Recordkeeping Business System	Function
Technology One ECM	Electronic Document and Records Management System
Technology One	Asset Management, Financial and Corporate Performance Management System
Infor Pathway	Local Government Management System
Aurion	Human Resource Management System
RedEye	Drawing Management System
Assetic myData	Asset Management System

All permanent, high value, and high risk records must be stored and managed in the Electronic Document and Records Management System (Technology One ECM). Examples of permanent, high value and high risk records include:

- legal documents (i.e. contracts, bank guarantees, agreements, deed of indemnities, etc);
- Council general meeting minutes;
- policies, corporate standards. and local laws; and
- physical documents that require to be tracked to enable easy retrieval of original document by using location functionality in Technology One ECM.

6.3.2 Approved Specialised Business Systems

The business has approved some systems for use as a specialised business system until such time as the system is decommissioned or no longer used. At that time, the records within these systems must be migrated and captured in an approved recordkeeping business system.

The approved specialised business systems are:

Approved Specialised Business Systems	Function
Aurora	Library Management System
Beakon	Manage data for risk and compliance activities
Doc Assembler and Docs on Tap	Council Meeting Management
ELMO Online Learning	Learning Management System
ENTA	Ticketing Solution
EnviroSys	Environmental Data Management
EventPro	Event Management System
Genesys PureCloud	Contact Centre
Geocortex and ArcMap	Geographic Information System
Guardian Control Centre	Disaster Management System
ManageEngine ServiceDesk Plus	Service Desk System
Mandalay WMS	Waste Management System
Media Drive – I Drive	Media files only
Recover	Asset Inspections and Maintenance System during a declared disaster event
Reflect	Asset Inspections and Maintenance System
Retic Manager	Sewerage and Stormwater Pipe Condition and CCTV Inspections System
SCADA System	Supervisory Control and Data Acquisition System
Vernon	Collection Management Software (CMS)

6.3.3 Approved Legacy Systems

The following systems are approved legacy systems which are not currently used however continue to hold records:

Approved Legacy Business System	Function
Alchemy	Document Management System
Conquest	Asset Management System
iAuditor	OHS Incident Management System
InfoXpert	Records Management System former Miriam Vale Shire Council
i-Sight	Case Management Software for HR Investigations
Practical (PCS)	Local Government Management System former Miriam Vale and Calliope Shire Councils
RecFind	Records Management System former Miriam Vale Shire Council

It is recognised that there may be additional legacy systems not identified above. Prior to any system being decommissioned or no longer supported by current technology strategies, all records within such systems must be migrated and captured in an approved recordkeeping business system.

6.3.4 Systems Not Approved for Use

The following are examples of systems that are not approved for recordkeeping:

- Microsoft Suite (Outlook, Teams, One Drive, SharePoint, OneNote);
- network drives (i.e. O drive) (excludes Media Drive – I Drive);
- Veritas Enterprise; and
- USB or external hard drive; etc.

Failure to keep records in an approved recordkeeping business system:

- conflicts with the business's legislative obligations and SERVICE values;
- creates an inability to locate, provide, or account for information now and into the future;
- creates loss of intellectual knowledge and history;
- increases inefficiencies and loss;
- compromises the reputation of the business; and
- exposes the business to legal action.

6.4 Employee Access to Records

Whilst the business seeks to increase the discoverability and accessibility of records and information, it is appropriate in some circumstances for access to records to be limited or restricted based on the nature of the information contained within the record (i.e. employee personnel file, confidential nature).

6.5 Administrative Release of Information

The business supports the proactive disclosure of information.

The administrative release of information is a discretionary process which seeks to:

- demonstrate transparency and accountability;
- increase confidence in and reputation of the business;
- create efficiency and reduce costs;
- reduce the number of applications made under the *Right to Information Act 2009* and the *Information Privacy Act 2009*; and
- engage early with customers in lieu of deferring to the legal processes.

Generally, the following records may be suitable for administrative release:

- records provided by the person seeking access to them;
- records provided by the business to the person seeking access to them;
- information which is ordinarily publicly available;
- information which is routinely made available by the business;
- information authorised for release by legislation; and
- information which is regularly or repeatedly requested.

It is not appropriate to administratively release:

- information which contains the personal information of another party;
- information that is prohibited from release under legislation;

- information that is exempt for release under the *Right to Information Act 2009* and the *Information Privacy Act 2009*;
- information that if released would, on balance, be contrary to the public interest (i.e. endanger a person's safety, endanger the security of an asset, etc);
- information in draft or unapproved form; and
- information that does not exist in the form requested.

Regardless of a record being administratively released or not, all records remain subject to consideration under a Right to Information or Information Privacy application and will be assessed accordingly upon receipt of such applications.

6.6 Retention and Disposal

All records must be retained and disposed in accordance with the Queensland State Archives Retention and Disposal Schedules.

In circumstances where the retention and disposal schedules do not provide for a particular business activity, the relevant Team in consultation with the Governance and Risk Team must develop relevant schedules for approval by the Chief Executive Officer and Queensland State Archives.

Some records (in any form and regardless of digitisation) must not be disposed of due to the age or nature of the information contained within the record. For example, records:

- deemed to be permanent under a current retention and disposal schedule;
- of an intrinsic value;
- required for legal purposes;
- subject to a disposal freeze (i.e. records relating to a significant matter under investigation); and
- for which the business has been directed to provide the record to Queensland State Archives.

The retention and disposal schedules must identify records with a permanent retention.

Generally, an employee may dispose of a record in circumstances where:

- a disposal procedure for an activity has been approved by the Chief Executive Officer or delegate;
- the original source digital record (i.e. email) has been captured in an approved recordkeeping business system; and
- the record is an unaltered photocopy of an original source record.

The disposal, destruction, or deletion of any other record not identified above must be approved by the Chief Executive Officer or delegate.

6.7 Quality Assurance

All approved recordkeeping business systems and activities will undergo periodic audit and review to ensure compliance with the business's legislative obligations and this corporate standard.

Periodic monitoring of the records contained within an Approved Legacy System will be undertaken to assess the health and accessibility of the records.

6.8 Responsibilities

6.8.1 Employees

Employee responsibilities include:

- ensuring all records relating to the business's transactions, activities, and decisions are created (and received) in the position held by the employees and promptly captured and sufficiently described in an approved recordkeeping business system;
- ensuring all records created or received by parties (i.e. contractors, consultants, volunteers, etc) engaged by the business to undertake its activities are captured in an approved recordkeeping business system;
- capturing all permanent, high value, and high risk records (i.e. legal documents) in the approved recordkeeping business system and responding within required timeframes set by Governance and Risk to ensure the management controls of these records continue to remain effective;
- ensuring the safe custody of records;
- protecting the privacy of personal information contained within records including collecting only the minimum personal information required to complete the transaction or activity;
- ensuring all information contained in records is complete, objectively expressed, accurate, up to date, and reliable;
- consulting with Governance and Risk prior to disposing of a record not identified under section 6.6 of this corporate standard;
- providing copies of records requested within the required timeframes for consideration by Governance and Risk in the processing of Right to Information and Information Privacy applications;
- consulting with Governance and Risk and Information Communications and Technology prior to the consideration of a new recordkeeping business system;
- undertake recordkeeping training as required by the business; and
- only accessing records for activities and transactions undertaken in the position held by the employee.

6.8.2 Leaders

In addition to employee responsibilities, Leader responsibilities include:

- establishing procedures and processes which integrate recordkeeping responsibilities in the activities undertaken by the Team including quality assurance processes.

6.8.3 Chief Executive Officer

In addition to employee responsibilities the Chief Executive Officer's responsibilities include:

- ensuring the business makes, manages, keeps, and preserves complete and reliable records;
- the safe custody of all records about the proceedings, accounts, or transaction of the business or its committees;

- the safe custody of all documents owned or held by the business; and
- produce, provide access, and allow examination of records where requested under the *Public Records Act 2002*.

6.8.4 Information Communications and Technology

In addition to employee responsibilities, the Information Communications and Technology Team responsibilities include:

- providing the technical infrastructure;
- providing technical advice on systems and supporting Recordkeeping Business System Owners; and
- developing, managing, and monitoring the technical aspects of:
 - network security;
 - information, communications, and technology business continuity (including vital records);
 - data backups; and
 - storage capacity.

6.8.5 Recordkeeping Business System Owners

In addition to employee responsibilities, Recordkeeping Business System Owner responsibilities include:

- advocating best practice record management activities;
- developing and delivering educational materials and training programs for records management activities;
- providing system support and troubleshooting;
- establishing procedures and processes for the audit of approved recordkeeping business systems; and
- consulting with Governance and Risk prior to the decommission or disuse of an approved recordkeeping business system.

6.8.6 Governance and Risk

In addition to employee responsibilities, the Governance and Risk Team responsibilities include:

- managing records in accordance with the *Public Records Act 2002* and retention and disposal schedules;
- advocating best practice record management activities;
- providing support and guidance on record management activities and systems including identifying opportunities for improvement;
- managing and preserving legal documents;
- leading the processing of Right to Information and Information Privacy applications;
- documenting and periodically reviewing the vital records plan;
- maintaining a defensible digitisation process for the disposal of physical source records which have been converted to a digital record; and
- registering and distributing incoming records received via the business's post office box and business's email (Info Mailbox).

6.9 ADMINISTRATIVE DELEGATIONS

The administrative delegations contained within this corporate standard are:

Delegated Power	Delegated Officer (subject to any conditions outlined in the Register of Delegations)
Power to authorise records for archive destruction.	General Manager Finance, Governance & Risk (11118) Manager Governance and Risk (11147) Records Management Specialist (11281) Team Leader Records Management (10780)
Power to maintain a Defensible Process for disposal of physical source records under Disposal Authorisation 2074 of the General Retention and Disposal Schedule issued by Queensland State Archives.	General Manager Finance, Governance & Risk (11118) Manager Governance and Risk (11147) Records Management Specialist (11281) Team Leader Records Management (10780)
Power to approve a business system for use as a recordkeeping business system.	Chief Executive Officer (10124)

The Statutory Delegations Register provides the powers delegated to a position under legislation.

7.0 ATTACHMENTS:

Nil.

8.0 REVIEW TRIGGER:

This corporate standard will be reviewed when any of the following occur:

1. The related legislation or governing documents are amended or replaced; or
2. Other circumstances as determined by resolution of Council or the CEO; or
3. Five (5) years from date of effect.

TABLE OF AMENDMENTS		
Document History	Date	Notes (including the prior CS No, precise of change/s, etc)
Originally Approved	10 March 2009	09/131 (formerly Policy P-3.07.01)
Amendment 1	18 March 2014	G/14/1926
Amendment 2	17 December 2019	Council was presented with a revised version of the policy but elected to retain the policy in its current form.
Amendment 3		Amendment from a policy to a corporate standard. Removal of Introduction, Record Management Program and Staff Benefits sections. New Principles, Creating a Record, Approved Recordkeeping Business Systems, and Administrative Release sections. Wording amendments to balance of document to increase readability and clarity of intent.

APPROVED:

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LEISA DOWLING
CHIEF EXECUTIVE OFFICER