



Records Governance Policy

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Supporting documentation

Legislation	<ul style="list-style-type: none"> • <i>Right to Information Act 2009</i> • <i>Information Privacy Act 2009</i> • <i>Public Records Act 2002</i>
Policies	<ul style="list-style-type: none"> • -
Delegations	<ul style="list-style-type: none"> • -
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1. Objective

The purpose of the Records Management Policy is to establish a Council-wide consistency in the management of records and a framework for the creation, capture, access, management, storage, and disposal of records of all Council functions, irrespective of format, within Carpentaria Shire Council.

2. Scope

This policy applies to all Carpentaria Shire 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.

3. Policy Statement

Council is committed to meeting its legislative obligations for records management which will be progressively integrated with information management and knowledge management policies and strategies, including those regarding information communication technologies, Freedom of Information (FOI), information privacy, information security, procurement, and risk management.

4. Records Management Framework

This procedure is to be complied with regarding all matters pertaining to records management and the six key recordkeeping principles from the Queensland State Archives Records Governance Policy.

4.1.1 Ensure records management is supported at all levels of the business

Council must ensure records management is everyone's responsibility. This means it must be supported across all areas and all levels of the business by:

- a. assigning formal records management responsibilities to key roles within the business to monitor and support the active implementation of this policy.
- b. providing appropriate advice and guidance to ensure the business is aware of the value of records and information and how this relates to their obligations and responsibilities as an employee.
- c. fostering a positive, innovative, and collaborative recordkeeping culture.

4.1.2 Systematically manage records using governance practices that are integrated and consistent with broader agency frameworks

- a. Consistent and aligned governance practices provide a strong foundation for systematically managing records and information across all functions of an agency. Records governance must work within the agency's existing structure and governance and strengthen the agency's strategic goals and functions.
- b. Council must systematically manage records and information by:
 - (i) ensuring records and information governance is aligned with broader agency frameworks and incorporated in business strategies and objectives.
 - (ii) developing and implementing appropriate and fit-for-purpose documentation that details how active records management will strengthen agency business imperatives and strategic goals.

- (iii) complying with relevant legislation that governs recordkeeping requirements.
- (iv) measuring how well records governance is supporting agency business imperatives and strategic goals.

4.1.3 Create complete and reliable records

Complete and reliable records provide evidence of activities of the agency and allow the business to operate effectively. Council must ensure complete and reliable records are created and retained as appropriate by:

- a. identifying all the records that allow the business to operate – these provide evidence of decisions, support accountability and transparency, mitigate risk, help the agency meet legislative requirements and reflect the business of the agency.
- b. specifying how these records must be created, when they must be created, the format they must be created in, who must create them and implementing security and preservation requirements associated with those records.
- c. integrating record creation into existing business processes.
- d. ensuring recordkeeping is considered when decisions are made about business systems (particularly decisions around migration and end of life).

4.1.4 Actively manage permanent, high-value and high-risk records and information as a priority

'Permanent' records are those with a permanent retention period. 'High value' records are those that are important to the business, its operations, or stakeholders. 'High-risk' records are those that pose a significant risk to the agency if they were misused, lost, damaged, or deleted prematurely. These records should have the highest priority for Council when developing and implementing their governance practices. Council must actively manage permanent, high-value and high-risk records by:

- a. defining the criteria and processes for identifying permanent, high-value and high-risk records, including transfer of permanent value records to QS.
- b. formally documenting details of permanent, high-value and high-risk records.
- c. actively maintaining visibility of these records while they are being used, including monitoring processes for permanent, high-value and high-risk records held in business systems and applications.

4.1.5 Make records discoverable and accessible for use and re-use

Discoverable records are those that are in business systems and applications approved for use by the agency. Accessible records are those that can be located and continuously used. Council must ensure complete and reliable records are discoverable, accessible and are able to be used and re-used for their entire life by:

- a. keeping records in business systems and applications approved for use by the agency.
- b. being able to discover and appropriately access records, with confidence in sufficiency of search.
- c. actively monitoring the health of records.

4.1.6 Dispose of records in a planned and authorised way

Council must plan for how and when they will dispose of records, using a risk-based approach. Records must be disposed of in a planned and authorised way by:

- a. using the disposal authorities issued by the State Archivist, that provide proper coverage of the specific records you create and keep.
- b. developing and implementing a disposal plan, which details disposal decisions and actions for the agency. The plan must, at a minimum, cover:
 - (i) disposal endorsement, including how internal endorsement is given.
 - (ii) disposal methods, including how records will be disposed of (physical and digital).
 - (iii) disposal frequency, including specifying how often certain types of records will be disposed of.
- c. formally documenting the disposal of records.

5. Recordkeeping Responsibility

5.1.1 CEO

The CEO is responsible for ensuring Council's compliance with the Public Records Act 2002 and the principles and standards 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.

5.1.2 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 Records Management employees, develop, manage, and monitor the technical aspects of:
 - (i) Disaster preparedness and recovery strategies and procedures.
 - (ii) Records and systems migration strategies and procedures; and
 - (iii) Regular backups for records and recordkeeping systems 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.

5.1.3 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.
- g. Develop and maintain recordkeeping administration for Council's primary recordkeeping system.
- h. Develop and implement an internal recordkeeping framework, including policies, standards, procedures, and tools.
- i. Identify and manage vital corporate records about the relevant storage parameters and accessibility standards; and
- j. Develop, manage, test and review disaster preparedness and recovery strategies and procedures for all records, including electronic records.

5.1.4 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 to the Manager Corporate and Technology Services; and
- c. Monitor employee, contractor and volunteer compliance with Council's recordkeeping processes and practices.

5.1.5 All Employees

The capture and recording of Council 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. Comply with all policy documents introduced to foster recordkeeping best practice throughout Council in compliance with the Records Management Policy.
- c. Capture Council's records into the relevant recordkeeping system at the time of creation or receipt.
- d. Keep records for as long as they are required for business, legislative, accountability and cultural purposes.

5.1.6 Records Steering Group

The Records Steering Group is made up of representatives from each Council department. The role of the group is to discuss and troubleshoot recordkeeping matters and provide recommendations for process improvements.

5.1.7 Councillors

In accordance with the Code of Conduct for Councillors in Queensland, in exercising good governance, Councillors are committed to:

- a. ensure records and information created and received in an official capacity as a Councillor are captured in accordance with legislation and policies, including the Public Records Act 2002 and the Local Government Act.
- b. manage records in accordance with Council's policy and procedures.
- c. ensure records are only captured in Council's records management system or approved business systems that have recordkeeping functionality or guidelines.
- d. ensure that public records created or received by the Councillor or otherwise in their possession are provided to the Records Management Program Leader in accordance with the Records Management Procedure to enable a full and accurate record of Council's activities to be made and kept.
- e. If a Councillor is not able to determine whether a record is a public record, the Councillor must provide a copy of the record to the Records Management Program Leader for determination and must not delete or otherwise dispose of the relevant record until such determination is made.

Adopted by Council 16th October 2024 by Resolution 1024/010.

Anne Andrews
Chief Executive Officer