



Croydon Shire Council

Records Management Policy

Document Control

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1. Purpose

The objectives of this policy are to ensure that full and accurate records of all activities and decisions of the Croydon Shire Council and its employees, are created, managed and retained or disposed of appropriately, and in accordance with relevant legislation.

2. Scope

Under the *Public Records Act 2002*, Croydon Shire Council is required to make and keep full and accurate records of its activities. Full and accurate records are those records that provide reliable, complete and authentic evidence of business activities and decisions. The Records Management Policy applies to all Croydon Shire Council Councillors, employees, contractors and volunteers working for Council, including consultants and or agents engaged by Council.

The policy covers all aspects of Council's operations, including all records received or created in any format to support Croydon Shire Council's business activities and all business applications used to create, manage and access records. Council is committed to implementing best records management practices and systems to ensure the creation, maintenance and protection of accurate and reliable records. All practices concerning record keeping within Croydon Shire Council are to be in accordance with this policy and its supporting procedures.

3. Objectives

Record Management is everyone's responsibility. Effective recordkeeping allows Council to:

- meet its legislative requirements and responsibilities
- protect the rights and entitlements of ratepayers
- protect and help defend against complaints or accusations of wrongdoing
- make robust and consistent decisions
- promote confidence in the authenticity and integrity of information
- support efficient and transparent business practices
- provide evidence of decisions and actions.
- Commit to best practice recordkeeping, and develop recordkeeping systems consistent with the Australian Standard for Records Management (AS ISO 15489).

4. Legislation

- *Local Government Act 2009 (Qld)*
- *Public Records Act 2002 (Qld)*
- *Right to information Act 2009*
- *Information Privacy Act 2009*

5. Standards

The Council will comply with the Queensland government's recordkeeping standards and policies as they apply to local authorities. In cases where recordkeeping issues arise which are not covered by the Council's records management policy and procedures, Council will follow the advice from Qld State Archives and be guided by the Australian Standard on Records Management (AS ISO 15489).

The following standards relate to this policy:

International

- AS ISO 15489: Information and Documentation – Records Management

Queensland Government

Information standards are issued under the authority of the State Archivist in s.25 of the *Public Records Act 2002* and apply to public authorities. They include:

- Records Governance Policy
- Information Standard 34: Metadata

Queensland State Archives

Key recordkeeping standards, policies and guidelines approved by the State Archivist for use by local authorities include:

- Managing Electronic Messages as Records
- Managing Records of Online Resources and Services
- Queensland Recordkeeping Metadata Standard and Guideline

6. Definitions

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.

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

Retention and Disposal Schedule - a document which is issued by the Queensland State Archivist advising of retention periods for public records and when those records are considered appropriate for disposal under the *Public Records Act 2002*.

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 authorized delegates.

7. Policy Statement

7.1 The definition of a government record is:

'A record created or received by a government organisation or a government organisation employee in the course of the work for the organisation'.

A record of Council is any form of recorded information, created or received by the business in the exercise of its statutory, administrative or other public responsibilities, or for a related purpose. It is any information that is:

- evidence of a decision or advice;
- evidence of a transaction or an action taken;
- created or received to meet legal requirements, community expectations or business needs.

Records can be created in digital, paper or other formats and include but are not limited to:

- information recorded on paper
- diaries
- videos
- images
- sound recordings
- text messages
- emails
- social media interactions
- data entered and held in business systems
- messaging applications
- film / microfiche / photographs
- other hardcopy and digital mediums.

Examples of a record include:

- ✓ minutes of Council meetings and the notes or recordings used to make those minutes
- ✓ decisions resulting from discussions between Councillors about the administration or management of the local government
- ✓ rate notices
- ✓ dog registrations and renewals
- ✓ an email advising staff of a work health and safety meeting
- ✓ a text with a decision to approve funding for a project
- ✓ a post-it note with instructions to act on a report
- ✓ a Council Facebook post with a complaint from a ratepayer or resident
- ✓ a video or audio recording of a meeting about progress on a Council project
- ✓ a Twitter or Instagram post talking about an upcoming Council event.

Information relating to the following activities are not records of Council:

- × personal activities and interactions with family and friends that do not involve Council business
- × political membership or activities

7.2 Recordkeeping Systems

Council's primary recordkeeping system, MAGIQ Documents, is the internal recordkeeping system where all corporate administrative records are captured and stored.

While MAGIQ Documents is the Council's primary recordkeeping system, there are a number of other information systems, databases and applications, which function as noncompliant recordkeeping systems including:

- Practical Plus (PCS)
- Employee Training Manager Enterprise
- Plant Assessor
- Qikkids
- AssetEdge

All of Council's records must be created and maintained within the preferred recordkeeping systems. Unstructured records must be maintained in the primary recordkeeping system whenever possible. Records must not be stored/maintained in network drives (for example H drive), local hard drives, electronic mail boxes or other storage devices. These electronic storage facilities do not contain recordkeeping functionality.

Council's compliant recordkeeping systems manage the following processes:

- Creation and capture of records
- Storage of records
- Protection of record integrity and authenticity
- Security of records
- Access to records; and
- Disposal of records in accordance with retention and disposal schedules

7.3 Responsibility of Officers

7.3.1 Chief Executive Officer

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

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

The Chief Executive Officer 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:

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

7.3.2 Managers and Supervisors

All managers and supervisors shall:

- Ensure that their business area captures complete and reliable records into the relevant recordkeeping systems that create and maintain records
- Ensure employees under their supervision are aware of their recordkeeping responsibilities and undertake training to ensure records are created and managed appropriately
- Monitor employee, contractor and volunteer compliance with Council's recordkeeping processes and practices

7.3.3 Records Officer

The records officer shall:

- Register and distribute incoming records as required by management
- Develop and implement recordkeeping processes
- Identify recordkeeping requirements

- Make, keep and preserve complete and reliable records that document business transactions within compliant and accountable recordkeeping systems
- Manage Council's records in accordance with the *Public Records Act 2002* and Retention and Disposal Schedules
- Train Council employees in relation to recordkeeping obligations, processes and procedures and ensure that all new staff are inducted as to their record keeping responsibilities.

7.3.4 Employees

All employees, including contractors and volunteers, are responsible for:

- Creating complete and reliable records of Council business in accordance with the *Public Records Act 2002*.
- Capturing records in an appropriate recordkeeping system at the time of creation or receipt.
- Complying with this policy

7.4 Specific Recordkeeping requirements for Mayor and Councillors

Email

Elected members must use their Council email account for Council business. Any emails regarding Council business received or sent from personal email accounts must be forwarded to the elected member's Council email account or to admin@croydon.qld.gov.au for recordkeeping.

Social Media

Social media accounts and posts which contain Council related business must be captured for recordkeeping.

Complaints and Requests

Requests for service or complaints concerning Council business must be referred to admin@croydon.qld.gov.au for recordkeeping.

Hardcopy Diaries

If elected members maintain a hardcopy diary for Council related business, these diaries must be forwarded on for retention in Council's recordkeeping system within 12 months of the last entry or when the elected member leaves office.

Meetings and Verbal Exchanges

Elected members who conduct meetings/discussions with individuals related to Council business, should provide an account of key issues and outcomes where there are decisions or undertaking made on behalf of the Council. These records must be forwarded to admin@croydon.qld.gov.au for recordkeeping.

Other records

Elected members who directly receive any form of record related to Council business from an individual or organisation, must ensure that they email it to admin@croydon.qld.gov.au for recordkeeping.

7.5 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 retained and disposed of, in accordance with the Local Government Sector Retention and Disposal Schedule. This schedule is used in conjunction with the General Retention and Disposal Schedule.

7.6 Disposal of records without reference to a retention and disposal schedule

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.

7.7 Storage

The Records officer will ensure that 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*.

7.8 Public Access to Records

Members of the public may apply for access to Council records under the provisions of the *Information Privacy Act 2009* or *Right to Information Act 2009*.

8. Related Documents

- Croydon Shire Council Business Rules
- Local Government Sector Retention and Disposal Schedule
- General Retention and Disposal Schedule
- Queensland State Archives Records Governance Policy
- Council Records: A guideline for Mayors, Councillors, CEOs and Council employees, July 2019