

# RECORDKEEPING POLICY

## ADMINISTRATIVE POLICY



### 1 Scope

This policy applies to Rockhampton 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.

### 2 Purpose

The purpose of this policy is to establish a framework to ensure Council records generated are adequately created, captured and managed through their life cycle in accordance with best practice and legislative requirements.

### 3 Related Documents

#### 3.1 Primary

Nil

#### 3.2 Secondary

*Civil Liability Act 2003*

*Electronic Transactions (Queensland) Act 2001*

*Evidence Act 1977*

*Information Privacy Act 2009*

*Judicial Review Act 1991*

*Local Government Act 2009*

*Local Government Regulation 2012*

*Public Records Act 2002*

*Public Sector Ethics Act 1994*

*Right to Information Act 2009*

Corporate Records Disaster Preparedness and Management Plan

Delegation and Authorisation Policy

Delegations Corporate Register

Digitisation Disposal Policy

General Retention and Disposal Schedule

Information Security Policy

Local Government Sector Retention and Disposal Schedule

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#### 4 Definitions

To assist in interpretation, the following definitions apply:

Capture	A deliberate action which results in the registration of a record into a recordkeeping system.
CEO	Chief Executive Officer A person who holds an appointment under section 194 of the <i>Local Government Act 2009</i> . This includes a person acting in this position.
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	Rockhampton Regional Council
Councillor/s	The Mayor and Councillors of Council, within the meaning of the <i>Local Government Act 2009</i> .
Delegated Officer / General Manager	An employee appointed to a position with a corporate band 2 delegated in accordance with the Delegation and Authorisation Policy and detailed in the Delegations Corporate Register.
Disposal	In accordance with the <i>Public Records Act 2002</i> , includes: (a) Destroying or damaging the record, or part of it; or (b) Abandoning, transferring, donating, giving away or selling the record, or part of it.
ECM	Enterprise Content Management. Council's corporate recordkeeping application.
Employee	Local government employee: (a) The CEO; 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> .
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.
Technology One R1	Council's corporate enterprise application, including ECM, Supply Chain, Financial and Budgeting Modules and Assets and Work Order Management Systems.

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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 delegates.
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## 5 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 in the Records Governance Policy, and other relevant Queensland State Archivist standards and guidelines.

All recordkeeping practices within Council are in accordance with this policy and its supporting procedures.

### 5.1 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 which they are created and kept.
- (d) **Complete** in content and contain 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 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.

### 5.2 Protection of Records

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

The Corporate Records Disaster Preparedness and Management Plan has been developed to document the risk mitigation and preparation actions, and the rehearsed recovery procedures in the event of a disaster impacting Council's records.

### 5.3 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 paragraph, are to be discoverable and accessible as authorised.

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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 right of access to records.

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

The Information Security Policy and related policy documents detail the access requirements and restrictions regarding Council's records.

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 discovery or subpoena. Enquiries or applications for access to Council's records are considered in accordance with Council's Right to Information Policy.

## 5.4 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.

### 5.4.1 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 discovery and 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.

### 5.4.2 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 as 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 accordance with the Digitisation Disposal Policy without reference to the Retention and Disposal Schedules.

### 5.4.3 Disposal of Records with Reference to the Retention and Disposal Schedules

Records must be disposed of in a planned and authorised way by:

- (a) Using the Retention and Disposal Schedules, ensuring proper coverage of the specific records being disposed;
- (b) Being authorised by a delegated officer at the request of the Records Management Sub Unit; and
- (c) Formally documenting the disposal of records.

Employees must archive records in accordance with the Records Archiving Whole of Council Work Instruction. All disposals must be coordinated by the Records Management Sub Unit.

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## 5.5 Recordkeeping Systems

Council's primary recordkeeping system, ECM, is the internal recordkeeping system where all corporate administrative records are captured and stored. Paper-based records received by Council are captured within this system through digital imaging. Paper files are only created and maintained for particular classified records (in accordance with the Information Security Policy) or by special arrangements with the Records Management Sub Unit.

While ECM constitutes Council's preferred primary recordkeeping system for all corporate administrative records, there are a number of other information systems, databases, software applications and paper based systems which operate outside ECM and function as recordkeeping systems. These systems are listed in paragraph 5.5.1.

Council's recordkeeping systems are 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 created and maintained within the preferred recordkeeping systems. Records must not be stored/maintained in network drives (for example O and P drives), local hard drives, electronic mail boxes (Outlook, PST files), Microsoft Teams 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 schedules.

### 5.5.1 Specialised and Legacy Systems

Specialised System	Description
AirportBMS	Airport Building Management System (Johnson Controls)
Airwatch	Mobile Device Management Software
ArcGIS/GeoCortex	Spacial Information and Mapping System (Hybrid Cloud)
Artifax	Theatre Events Management System
AssetEdge – Reflect	TMR Contract Management
Aurion	Human Resources and Payroll
AustBridge	Bridge Asset Management System
AVCRM	Airport Management System (Cloud Based)
Beakon	Learning Management System/Site Contractor Management (Cloud Based)
eLMS	Electronic Lodgement of Mailing Statements (Australia Post)
EngagementHQ (Bangthetable.com)	Online Community Engagement Software (Cloud Based)
Ferve	Ticketing Management System (Cloud Based)

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<b>Specialised System</b>	<b>Description</b>
Evidence.com	Storage of Body Worn Cameras Footage (Local Laws)
Gallagher (Cardax)	Access Control System
Guardian - IMS	Disaster Management System (Cloud Hybrid)
IBIS	Rates and Water Modelling Software
ICON	Online RRC Planning Assessment Tool
InfoCouncil*	Council Agenda Management Software
Intellistreets Command Centre	Smart Lighting Control System
LogItOut	Key/Loan equipment management system
Mandalay	Weighbridge Software (Cloud Based)
MBRS	Online Managed Bill Reporting System (Telstra)
MyVisitorLog	Visitor Management System (Cloud Based)
PARMMS	Pavement and Road Management Maintenance System
Pathway	Local Government Information System – People, Property, Revenue, Regulatory
Pinforce	Penalty/Infringement Enforcement Management System
Qikkids	Child Care Management
Technology R1	Technology One Suite of products (ECM, Supply Chain, Financial/Budgeting, Assets and Work order management)
RACAS	Road Asset Condition Assessment System
ReGenOne	Cemetery Management System
Riskware	Enterprise Risk Management System
Road Manager	Pavement Management
RockhamptonTickets.com	Ticketing System (Cloud Based)
RTIPs	Right to Information Privacy System
Seamless/OpenCities	Intranet/Website Content Management System
Sentinel	Parking Sensor Management System
ServiceDesk Plus	IT Service Desk Software
Showday	Show Management Software
SIRSI Symphony	Library Management (Hybrid Cloud)
SmartSign Manager	Digital Signage Content Management System
SurveyMonkey	Web Survey Tool
SWIMlocal	Water and Sewerage Data Reporting System
TRACCS	Manages Client Records and Transactions for Home Assist Secure
TransSequel	Fuel Bowser Management Software
TrboNet	2 Way Radio System Management Software

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Specialised System	Description
TryBooking.com	Ticketing and Event Management (Cloud Based)
Veevart	Art Gallery Management System (Cloud Based)
VideoXpert	Pelco CCTV Management System
Vision6	Online Marketing Campaign System (Cloud Based)
Visitor Identity Card System	Airport Visitor Identity Card Management System (Passage Point)
WasteTrack	Waste Collection Routing System
WinCounter	People Counting Software
Xperion	Fitzroy River Water SCADA Monitoring and Logging System

\*Not a recordkeeping system – documents generated using InfoCouncil software must be registered into ECM.

Legacy System	Description
Conquest	Asset Management
Enterprise One	Financial Management
InfoVision	Records Management and Customer Service System (former Fitzroy Shire Council)
JRA Lifecycle	Asset and Internal Audit Database
Mainpac	Plant and Fleet Asset Management
PCS	Financial and Regulatory (Mt Morgan and Fitzroy Shire)
RecFind	Records Management System (Livingstone Shire Council)
Seat Advisor	Box Office Ticketing
Trade Waste Plus	Trade Waste System
Webcc	Contact Centre for Customer Service
Winvaccs	Vaccination Tracking

## 5.6 Recordkeeping Responsibility

### 5.6.1 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;

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- (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.

### 5.6.2 Information Technology Services

The Information Technology Services Sub 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.

### 5.6.3 Records Management Sub Unit

The Records Management Sub 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 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 with regard to 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.

### 5.6.4 General Managers

General managers are responsible for ensuring:

- (a) All employees under their supervision are aware of and comply with their recordkeeping responsibilities;

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- (b) Internal processes are established for teams and individuals that require support and assistance in complying with recordkeeping responsibilities; and
- (c) Records are retained as long as lawfully required.

**5.6.5 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.

**5.6.6 Employees**

The capture and recording of Council records is the responsibility of all employees, 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 Governance 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.

Refer to the Recordkeeping Charter for further details regarding responsibilities and process timelines.

**5.6.7 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.

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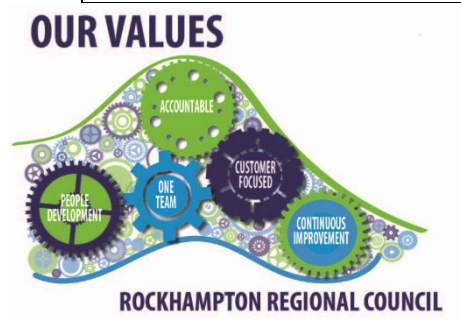
## 6 Review Timelines

This policy is reviewed when any of the following occur:

- (a) The related information is amended or replaced; or
- (b) Other circumstances as determined from time to time by Council.

## 7 Document Management

Sponsor	Chief Executive Officer
Business Owner	Deputy Chief Executive Officer
Policy Owner	Manager Corporate and Technology Services
Policy Quality Control	Legal and Governance



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