

# POLICY

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## RECORDKEEPING

### APPROVALS

|                      |  |                              |         |
|----------------------|--|------------------------------|---------|
| <b>POLICY NUMBER</b> | CORP-POL-026                               | <b>DOC.ID</b>                | 4538772 |
| <b>CATEGORY</b>      | Statutory                                  |                              |         |
| <b>POLICY OWNER</b>  | Information & Communications<br>Technology |                              |         |
| <b>APPROVAL DATE</b> | 24 February 2021                           | <b>RESOLUTION<br/>NUMBER</b> | 7109    |

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## OBJECTIVE

The purpose of this policy is to:

- Establish a framework for the creation and management of records within Isaac Regional Council (IRC)
- Ensure business activities of IRC are documented, recorded and managed; to protect the integrity, enhance proficiency and preserve the history of IRC.
- Ensure IRC records are collected, used, managed and protected in accordance with legislative and policy guidelines that binds IRC.

This policy should be read in conjunction with the IRC Recordkeeping Guideline, and IRC Recordkeeping Business Rules.

## SCOPE

This policy applies to all IRC employees; including contractors, councillors, work experience, trainees, volunteers and any other employee as defined by the *Public Service Act 2008*.

This policy relates to all corporate records, including both physical and electronic; over every aspect of organisational business.

This includes all records created by:

1. Business transactions.
2. Business communications.
3. Software applications including emails, hosted data base applications, cloud-based applications, websites, external hard drives and data storage devices.

This policy covers public records created, commissioned, or received by IRC or entities with which IRC has legislative responsibility.

## DEFINITIONS

| TERM / ACRONYM    | MEANING  |
|-------------------|--|
| Accountability    | The responsibility of each individual staff member to justify actions and decisions to appropriate regulatory authorities, shareholders, members, and to the public to meet statutory obligations, audit requirements, relevant standards and codes of practice, and community expectations. |
| Business Activity | Umbrella term covering all the functions, processes, activities and transactions of IRC and its employees.   |

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| Classification     | The process of categorising or grouping records by activity; facilitating the capture, retrieval, maintenance and disposal of records.<br>Classification includes determining document or file naming conventions, user permission and security restrictions on records.  |
| Correspondence     | Any communication exchanged by two or more parties.   |
| Corporate Memory   | The accumulation of information, knowledge and records which are created during an organisation's existence.  |
| Destruction        | The process of irreversibly deleting or disposing of records that do not have continuing value.   |
| Disposal           | The process of selling, transferring or destroying IRC or public records.   |
| Disposal Authority | A document issued by the State Archivist which lists records created by an organisation, outlines a timeframe for retention and authorises the disposal of records after timeframes are met.  |
| Document           | An item in hard copy or electronic format which includes writing, meaningful marks, symbols, figures or any other recorded information.   |
| Employee           | Employees, contractors, councillors, work experience, trainees, volunteers or IRC official.   |
| Evidence           | Information that tends to prove a fact. Not limited to the legal sense of the term.   |
| File               | A collection of documents on a specific subject, located within a file cover, which show organisational activities through an identifiable sequence of transactions.<br>Documents are arranged in chronological order; the most recent document is placed on top.   |
| Information        | A collection of data in any format which is maintained and may be transmitted, altered and stored. Records are the subset of information which accounts for the evidence of activities.   |
| IRC                | Isaac Regional Council.   |
| Public Record      | Any document defined as a public record under Section 6 of the <i>Public Records Act 2002</i> . Public records include: <ul style="list-style-type: none"> <li>• Any record made, received or held by a public authority throughout the course of business or conduct of their affairs.</li> <li>• A ministerial record.</li> </ul> |

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|                       | <ul style="list-style-type: none"> <li>• A record of an Assistant Minister.</li> <li>• A duplicate or copy of a public record.</li> <li>• A part, extract or piece of a public record or a copy of a public record.</li> </ul>  |
| Record                | <p>Any form of recorded information which has been compiled, received or stored during the course of duty; which provides evidence of decisions and actions of Isaac Regional Council. A record covers any format including electronic and hard copy, and includes:</p> <ul style="list-style-type: none"> <li>• Anything which includes writing (electronic or physical).</li> <li>• Anything which includes symbols, marks, figures etc which has meaning to people, including only people qualified to interpret them.</li> <li>• Anything which includes sounds, images, film or writings.</li> <li>• Any maps, plans, drawings, photographs or technical files.</li> </ul> |
| Recordkeeping         | <p>Making and maintaining complete, accurate and reliable evidence of business transactions in the form or record information.</p>  |
| Recordkeeping Systems | <p>Information systems, which capture, maintain and provide access to records over time. Approved recordkeeping systems are listed in the IRC Recordkeeping Business Rules.</p>   |
| Registration          | <p>The act of giving a record a unique identifier and meta data within a recordkeeping system.</p>  |
| Sentencing            | <p>The process of analysing, classifying and applying the disposal action on records according to the disposal authority.</p>   |
| Tracking              | <p>Capturing and maintaining information about the movement and uses of records.</p>  |
| Vulnerable Person/s   | <p>A Child or children; or an individual aged 18 years or above who is or may be unable to protect themselves against harm or exploitation by reason of age, illness, trauma or disability, or any other reason.</p>  |

**POLICY STATEMENT**

IRC recognises that records are a vital asset which:

- Support its program delivery, management and administration.

- Provide evidence of actions and decisions and precedents for future decision making thereby demonstrating best practice in terms of transparency and accountability.
- Protect the rights and interests of Government, IRC and the community.

IRC acknowledges records as a corporate asset. The systematic creation and capture of administrative records is therefore fundamental to efficient and effective functioning of IRC processes and to protecting its corporate memory.

IRC is bound by existing legislative and policy guidelines which mandate the management of information. The *Local Government Act 2009* and *Local Government Regulation 2012* requires complete and reliable public records to be made and kept as part of any undertaken business activity, or business decision. All records must be saved into the Council's Corporate Records Management System, approved business system or IRC controlled software application.

All IRC employees, councillors, contractors, or officials must take reasonable steps to ensure all records and information is captured as per the Recordkeeping Procedure and IRC Recordkeeping Business Rules; and that captured records are relevant, accurate, complete and meaningful.

IRC is committed to adhering to the *Queensland Government Chief Information Office Records Governance Policy*. The policy outlines six foundation principles of recordkeeping (Information Standards), which provide the minimum recordkeeping requirements which Queensland local government agencies are obliged to meet.

IRC acknowledges the importance of creating, keeping and maintaining records; and the direct impact it has on the community's strategy for proactive protection of vulnerable people. IRC understands that the creation of complete and reliable records is vital in:

- Identifying the risk of vulnerable people to abuse and the ability to respond appropriately
- Protecting the rights and entitlements of victims and survivors of abuse.

## LEGISLATIONS AND RELATED GUIDELINES

- *Public Records Act 2002*
- *Electronic Transactions (Queensland) Act 2001*
- *Financial Management Standard 1997*
- *Evidence Act 1997*
- *Local Government Act 2009*
- *Local Government Regulation 2012*
- *Right to Information Act 2009*
- *Information Privacy Act 2009*
- Queensland State Archives Retention and Disposal Schedule

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- General Retention and Disposal Schedule
  - Right to Information and Privacy Guidelines
  - Queensland State Archives Guideline on Creating and Keeping Records for the Proactive Protection of Vulnerable Persons 2020
  - Queensland Government Chief Information Office Records Governance Policy
  - Crime and Corruption Commission Queensland Corruption Prevention Advisory “Management of Public Records – Advice for all Employees of a Public Authority” July 2017

## REFERENCES

| ID            | NAME                         |
|---------------|------------------------------|
| CORP-PRO-089  | Recordkeeping Procedure      |
| CORP-MISC-087 | Recordkeeping Business Rules |