APPLIES TO ADMINISTRATIVE POLICIES ONLY

This an official copy of the **Records Governance Policy**, made in accordance with the provisions of *Local Government Act 2009, Local Government Regulation 2012, Public Records Act 2002* and current Council Policies. The **Records Governance Policy** is approved by the Chief Executive Officer of Mount Isa City Council as an **Administrative Policy** for the operations and procedures of Council.

This Policy serves as staff instruction and is not a Council policy adopted by Council resolution. This policy is managed by the Chief Executive Officer and distributed to staff for their instruction.

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Sharon Ibardolaza
Chief Executive Officer

DOCUMENT VERSION CONTROL					
Governance/Policies/Administrative Folder ID# 14990			**POLICY TYPE**		Administrative
VERSION	**DATE**	**AUTHORISING OFFICER**	**DETAILS**		
V1	01.05.2019	Chief Executive Officer	**Responsible Officer –** Records and Rights to Information Officer / Advisor		
			REVIEW DUE	05.2020	

DISTRIBUTION AND DISSEMINATION			
Internal email to all employees	X	Section meetings / Toolbox talks	
Internal email to all Councillors		Included in employee inductions	
Staff noticeboards		Uploaded to Council website	
Internal training to be provided		External training to be provided	
Magiq	X		

1. PURPOSE

This policy sets out the foundational principles of recordkeeping for Mount Isa City Council ("Council") to meet minimum recordkeeping requirements now and into the future.

2. COMMENCEMENT

This policy will commence on and from 1 May 2019. It replaces all other policies or arrangements governing records governance and management (whether written or not).

3. APPLICATION

3.1 This policy applies to all documents and records created or received by Council in the conduct of its business by all staff, contractors, Councillors and the Mayor.

4. POLICY

Council values records as enablers and evidence of daily activity and will systematically manage records in an accountable and transparent manner.

We will do this to:

a) provide a strong foundation for systematically and effectively managing complete and reliable records and information;

b) ensure that those records that are most important are actively managed and preserved;

c) increase the discoverability and accessibility of records and information;

d) empower Council to establish its own fit-for-purpose records and information governance practices; and

e) apply a phased implementation approach focusing on increasing records management capability and maturity.

5. RESPONSIBILITIES

5.1 **Council must 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; and

c) fostering a positive, innovative and collaborative recordkeeping culture.

5.2 **Council must systematically manage records using governance practices that are integrated and consistent with broader Council frameworks.**

Consistent and aligned governance practices provide a strong foundation for systematically managing records and information across all functions of Council. Records governance must work within Council's existing structure and governance and strengthen the Council's strategic goals and functions.

Council must systematically manage records and information by:

a) ensuring records and information governance is aligned with broader Council frameworks and incorporated in business strategies and objectives;

b) developing and implementing appropriate and fit-for-purpose documentation that details how active records management will strengthen Council's business imperatives and strategic goals;

c) complying with relevant legislation that governs recordkeeping requirements; and

d) measuring how well records governance is supporting Council's business imperatives and strategic goals.

5.3 Council must create complete and reliable records.

Complete and reliable records provide evidence of activities of Council 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 Council 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; and

d) ensuring recordkeeping is considered when decisions are made about business systems (particularly decisions around migration and end of life).

5.4 Council must 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 QSA;

b) formally documenting details of permanent, high-value and high-risk records; and

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.

5.5 Council must 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 Council. 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; and

c) actively monitoring the health of records.

5.6 Council must 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.

6. VARIATIONS

Council reserves the right to vary, replace or terminate this policy from time to time.

7. BREACH OF POLICY

7.1   Where Council reasonably believes an employee has breached this policy, the matter will be dealt with under the Performance and Misconduct Policy.

8. COMMUNICATION AND DISTRIBUTION

8.1   Council will make available to the public, the Records Governance Policy on our website at www.mountisa.qld.gov.au.

8.2   The responsible officer shall liaise with the Training and Development Officer to create and deliver internal appropriate and regular training to the following Council employees;

    a)   Executive Management Team

    b)   Managers

    c)   Supervisors and coordinators

8.3   Supervisors will ensure the policy is distributed as per the Distribution and Dissemination table on this policy and ensure staff under their supervision are.

9. DEFINITIONS

a) **QSA** – Queensland State Archives

ASSOCIATED LEGISLATION AND POLICIES

- S. 25(1)(f) *Public Records Act 2002*
- Information security policy
- Information access and use policy (IS33)
- Information asset custodianship policy (IS44)