



**WINTON SHIRE COUNCIL
ADMINISTRATIVE**

DOCUMENT MANAGEMENT POLICY

DOCUMENT MANAGEMENT - POLICY

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DOCUMENT MANAGEMENT - POLICY

PURPOSE

The purpose of this Winton Shire Council (Council) policy is to establish a framework for the creation and management of Council's records.

SCOPE

The policy applies to Councillors, Council employees, contractors and volunteers who create or maintain records, business systems and database applications.

The policy provides the overarching framework for corporate information, management policies, procedures or guidelines.

DEFINITIONS

Council	Winton Shire Council (WSC)
Councillor/s	The Mayor and Councillors of Winton Shire Council, within the meaning of the Local Government Act 2009.
Council Employees	Local government employee: (a) The chief executive officer; or (b) A person holding an appointment under section 196 of the Local Government Act 2009.
Document Management 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 Public Records Act 2002.
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.

POLICY STATEMENT

Council recognises its regulatory requirements as a public authority under the *Public Records Act 2002* and is committed to the principles and practices set out in other relevant Queensland State Archivist standards and guidelines.

Council's records are a vital asset that support ongoing operations and provide valuable evidence of business activities over time. Council is committed to implementing best practice document management practices and systems to ensure the creation, maintenance and protection of accurate and reliable records.

RECORD MANAGEMENT OBJECTIVES

Council's document management objectives include maintaining processes and systems to assist in creating and maintaining complete and reliable records. Document management shall be:

- Adequate for the purposes for which they are created and kept.
- Created to document and facilitate the transaction of Council business.
- Complete in content and contain the structural and contextual information necessary to document a transaction.

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- Accurate in reflecting the transactions, activities or facts that they document.
- Securely maintained to prevent unauthorised access, alteration, removal or destruction.
- Kept in a format that allows their continued use.
- Entered into the corporate database systems.
- Maintained so that they are identifiable, retrievable and available when needed.
- Retained for as long as they have administrative, business, legislative, historical and cultural value.
- Preserved by being stored, protected and maintained.

PROTECTION OF RECORDS

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

Archived documents are kept in a secure location within Councils premises.

ACCESS TO RECORDS

All records either created or received within or on behalf of Council are official records that belong to Council and, subject to the considerations shown in this clause, are to be relocatable and accessible as authorised.

An employee's level of access to records is relevant to:

- Their position responsibilities and accountabilities.
- The level of delegated authority.
- Privacy considerations.
- Legal professional privilege.
- Commercial-sensitivity.
- Other specific considerations where confidentiality restricts the normal right of access to records.

Authorisation from the relevant Director may be required before access is granted.

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.

RETENTION AND DISPOSAL OF RECORDS

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.

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.

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 may include but is not limited to:

- Announcements of social events.
- Duplicate copies or extracts of documents kept only for reference.

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- Copies of circulars, flyers and forms.

These documents 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 document management system a copy may be destroyed/disposed of, in the appropriate manner, at any time without reference to the Retention and Disposal Schedules.

DOCUMENT MANAGEMENT SYSTEMS

Council's primary document management system, InfoXpert is the internal document management 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 or special arrangement.

While InfoXpert constitutes Council's preferred primary document management system for all corporate administrative records, there are a number of other information systems, databases, software applications and paper-based systems which operate outside InfoXpert and function as document management systems.

Council's document management 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 document management systems. Records must not be stored/maintained in network drives (for example S: and Z: drives), local hard drives, electronic mail boxes or other storage devices.

These electronic storage facilities do not contain document management functionality to ensure records are captured and managed in accordance with sound document management principles.

Council's document management 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.
- Disposal of records in accordance with retention and disposal schedules.

DOCUMENT MANAGEMENT RESPONSIBILITIES

CHIEF EXECUTIVE OFFICER (CEO)

The CEO is responsible for ensuring Council's compliance with the *Public Records Act 2002*, *Local Government Act 2009* and the principles and standards established by Queensland State Archives, including:

- Accounting for document management and systems within Council to Ministers, Parliament and others as required.
- Assigning document management responsibilities within Council.
- Providing appropriate resources to maintain document management systems and processes.
- Ensuring document management systems are in place and produce complete and reliable records.
- Ensuring document management requirements are included in all business undertaken by Council.
- Taking all reasonable steps to implement recommendations made by the State Archivist.

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- Actively promoting and supporting a positive document management culture throughout Council.
- Ensuring that core Council plans, strategies, policies etc. are reviewed annually, biannually or as required.
- Ensuring employees, contractors and volunteers are aware of their document management responsibilities.

INFORMATION TECHNOLOGY

The Information Technology Officer shall:

- Provide the technical infrastructure required for document management.
- Provide technical support for the document management systems.
- Provide expert advice on information technology for document management strategies in an electronic environment.
- Develop and manage technical aspects of:
 - Disaster preparedness and recovery strategies and procedures.
 - Records and systems migration strategies and procedures.
 - Regular backups for records and document management systems and business systems that create and store records.
- Manage the security mechanism for the protection from unauthorised access to information in electronic form.

DIRECTORS (OR DELEGATE)

Council Directors and/or their delegate shall:

- Develop and implement document management processes.
- Identify document management requirements in consultation with other departments.
- Consult with Queensland State Archives in relation to policy and Information Standards development where required.
- Make, keep and preserve complete and reliable records that document business transactions within compliant and accountable document management systems.
- Train Council employees in relation to document management obligations, processes and procedures.
- Ensure strategies and procedures exist to identify and locate records.
- Develop and maintain document management administration for Council's primary document management system.
- Develop and implement an internal document management framework, including policies, standards, procedures and other forms, registers, tools etc.
- Identify and manage vital corporate records with regard to the relevant storage parameters and accessibility standards.
- Undertake document reviews i.e. annually, biannually or as required.
- Develop, manage, test and review disaster preparedness and recovery strategies and procedures for all records, including electronic records.

MANAGER/S AND SUPERVISOR/S

All managers and supervisors shall:

- Ensure complete and reliable records are made and captured into the relevant record and business systems that create and maintain records.
- Ensure document management systems underpin and support business processes and report any deficiencies to the Director and Information Technology Officer where required.

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- Monitor employee, contractor and volunteer compliance with Council's document management processes and practices.

EMPLOYEES

Council employees are responsible for capturing and recording Council records including:

- Creating complete and reliable records of Council business in accordance with the Public Records Act 2002.
- Complying with all policy documents introduced to foster document management best practice throughout Council in compliance with this and other departmental policies and procedures.
- Capturing Council's records into the relevant document management system at the time of creation or receipt.
- Keeping records for as long as they are required for business, legislative, accountability and cultural purposes.
- Archiving documents where required.

COMMUNICATION

Council's management team shall ensure that:

- Councillors and Council employees shall have access to this policy and be provided with the opportunity to be involved in the review of this policy.
- Changes and/or amendments made to this policy shall be communicated to all Councillors and Council employees.

RELATED COUNCIL DOCUMENTATION

- WSC-IT-POL-001 Information Technology Policy
- WSC-CCS-POL-022 Records Management Policy and Procedure
- WSC-LSC-POL-010 Record Keeping Policy and Procedure
- WSC-HSQF-POL-010 Records Management Policy and Procedure
- WSC-GOV-POL-002 Internal Audit Policy
- Document Register
- WSC-HR-POL-002 Privacy and Confidentiality Policy
- WSC-HR-POL-005 Performance Management Policy

LEGISLATION, RECOGNISED AUTHORITIES AND OTHER SOURCES

- *Copyright Act 1968 (Federal)*
- *Electronic Transactions Act 2001 (Qld)*
- *Information Privacy Act 2009*
- *Local Government Act 2009 (Qld)*
- *Local Government Regulation 2012 (Qld)*
- *Local Government Sector Retention and Disposal Schedule*
- *Public Records Act 2002*
- *Public Sector Ethics Act 1994*
- *Right to Information Act 2009*

CEO DISCRETION

Where applicable, the CEO can apply their discretion as to the enforcement of the requirements outlined in this policy and any requests for variations to this policy.

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REVIEW OF POLICY

This policy remains in force until amended or repealed by resolution of Council. This document will be reviewed biannually or as required.

RECORD OF AMENDMENTS and ADOPTIONS			
DATE	REVISION NO	REASON FOR AMENDMENT	ADOPTED BY COUNCIL
April 2022	V1.0	Adoption by Council	19 May 2022