

# South Bank Corporation Policy

## Corporate Services

**SUBJECT:** Documents and Records Management Policy  
**DATE CREATED:** October 2007  
**REVIEW DATE:** January 2010

### Purpose

The Document and Records Policy (the Records Management Policy) has been established to provide an organisational wide policy on the management of corporate documents and records – paper based and electronic. It contains the primary and fundamental principles and elements for the successful implementation of a document and records management programme such as the capturing, creation, use, access, retrieval, storage and disposal of records.

### Application

The Document and Records Management Policy is to be adhered to by all South Bank Corporation employees who use and create documents and records in their day-to-day functions and activities. This policy is not limited to those who have been assigned responsibility for document and records management.

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## **1. Foreword**

The Document and Records Policy (the Records Management Policy) has been established to provide an organisational wide policy on the management of corporate documents and records – paper based and electronic. It contains the primary and fundamental principles and elements for the successful implementation of a document and records management programme such as the capturing, creation, use, access, retrieval, storage and disposal of records.

Further development and enhancements of the Policy will rest with the General Manager Corporate Services.

## **2. Audience**

The Document and Records Management Policy is to be adhered to by all South Bank Corporation employees who use and create documents and records in their day-to-day functions and activities. This policy is not limited to those who have been assigned responsibility for document and records management.

### **Section 1: Introduction**

#### **1.1 Document and Records Management Programme**

The Document and Records Management Programme is a planned, coordinated framework, which includes the Document and Records Management Policy, application systems, tools and training, to manage the documents and records of South Bank Corporation and to achieve compliance with Queensland State Archives legislation. Since all staff are involved in creating, maintaining and using documents and records, it is imperative that there is a clear framework of roles and responsibilities for document and records management, which is understood by all staff.

#### **1.2 Value of records as a corporate asset and resource**

Documents and records are the major component of South Bank Corporation's corporate memory. They provide evidence of actions and decisions and are an indispensable ingredient in accountability. They support policy formation and managerial decision-making, protect the interests of the organisation and the rights of employees, clients and citizens, and help deliver services consistently and equitably.

Documents and records help the organisation to make good use of precedents and of organisational experience, and support

consistency, continuity, efficiency and productivity in program delivery, management, and administration.

South Bank Corporation has established a document and records management programme to ensure:

- South Bank Corporation has the documents and records it needs to support ongoing business activity, meeting accountability requirements and stakeholder expectations;
- Documents and records are managed as efficiently and effectively as possible;
- Documents and records are able to be effectively retrieved to meet business needs; and
- South Bank Corporation complies with all external requirements concerning its document and records management practices.

### **1.3 Authority for the Document and Records Management Policy**

#### **1.3.1 The Public Records Act, 2002**

South Bank Corporation is committed to meeting accountability requirements under the Public Records Act, 2002 (the Act).

Sections 2(7), 2(8) and 2(9) of the Act place significant obligations on South Bank Corporation to adhere to policies, standards and guidelines issued by the Queensland State Archives in order to keep full and accurate records; and to comply with the recordkeeping principles identified in Recordkeeping (Information Standard 40). For the purposes of the Public Records Act, South Bank Corporation is regarded as a public office.

#### **1.3.2 Legislative/regulatory framework for records management**

South Bank Corporation and South Bank staff are to comply with all relevant legislation, standards and other mandatory requirements relating to document and records management, including but not limited to the following:

- South Bank Corporation Act, 1989;
- Public Records Act, 2002;
- Public Service Act 1996;
- Electronic Transactions Act 2001;
- Financial Administration and Audit Act 1977;
- Evidence Act 1977;
- Freedom of Information Act 1992; and
- Financial Management Standard 1997.

### **1.3.3 Authority of the CEO**

This policy is issued under the authority of the CEO and will be reviewed and amended as required with a review every two (2) years in consultation with South Bank Corporation management and staff.

### **1.3.4 Queensland State Archives: Standards, Policies and Procedures**

This policy is supported by the following Standards, Policies and Procedures issued by Queensland State Archives:

- Recordkeeping (Information Standard 40);
- Retention and Disposal of Public Records (Information Standard 31);
- Managing Technology-Dependent Records (IS41);
- Information Security (Information Standard 18);
- Metadata (Information Standard 34);
- General Retention and Disposal Schedule; and
- Disaster Recovery and Business Continuity Plan including a Vital Records Programme.

### **1.3.5 South Bank Corporation – Standards, Policies and Procedures**

This policy is supported by the following Standards, Policies and Procedures issued by South Bank Corporation and the international community:

- Code of Conduct;
- Corporate Governance Manual;
- Document and Records Management Policy;
- Business Classification Scheme;
- Functional Retention Schedule; and
- International Standards Records Management ISO 15489.

## **1.4 Ownership of the Document and Records Management Policy**

The ownership of this policy rests with General Manager Corporate Services, who is responsible for providing strategic guidance and directions to the overall Document and Records Management Programme.

## **1.5 Purpose of the Document and Records Management Policy**

The purpose of this Document and Records Management Policy is to ensure the creation, maintenance, proper use and management of records in compliance with legislative, operational, and audit requirements.

The Document and Records Management Policy promotes the strategic objective of timely and efficient access and retrieval of South Bank Corporation records through the establishment of a framework supporting the document and records management programme.

Standardised document and records management practices include the development of integrated local business document and records management programs and require that all employees are aware of the framework and accountabilities for the document and records management programme.

## **Section 2: Document and Records Management Programme**

### **2.1 Scope of the Document and Records Management Policy**

This Document and Records Management Policy provides for corporate, whole of department document and records management practices. The policy covers paper based and electronic records including email, where a record is defined as –

*“Information created, received and maintained as evidence and information by an organisation or person, in pursuance of legal obligations or in the transaction of business” [Source – AS ISO 15489].*

A record, therefore, is simply a document (or documents), which provides “evidence of an event.”

### **2.2 South Bank Corporation’s records must:**

- relate to the functions and activities of the organisation;
- be created for and remain the property of the organisation;
- be captured as soon as possible after creation or receipt; and
- be maintained in compliance with the organisation’s standards, policies, procedures and guidelines

### **2.3 The Electronic Document and Records Management System**

TRIM is the primary electronic document and records management system of South Bank Corporation. It is used to register, store and manage any document or record, physical or electronic, including e-mails, created or used by South Bank Corporation staff in the course of conducting South Bank Corporation business.

TRIM is the South Bank Corporation system for the registration, storage, management and retrieval of information that has corporate value.

### **2.3 Business Classification Scheme**

The Business Classification Scheme shall be used by all of South Bank Corporation staff to title both paper based and electronic files. Titling protocols shall be strictly adhered to when creating files.

Authority to alter the Business Classification Scheme rests with the Records Clerk.

### **2.4 Operational Model of the Document and Records Management Programme**

#### **2.4.1 Business Units**

South Bank Corporation's Document and Records Management Programme is to be implemented within each business unit. Each unit shall be responsible for managing, implementing and monitoring the day-to-day operations of the document and records management programme.

Each business unit is to allocate necessary staff and other resources to carry out the day-to-day document and records management operations.

#### **2.4.2 Records Clerk**

The Records Clerk is responsible for coordinating the overall document and records management programme including all related policies, standards and guidelines and the provision of advice and assistance on all aspects of document and records management.

### **2.5 South Bank Corporation records held by contracted service providers**

Where custody of South Bank Corporation records passes to a contracted service provider, the records are to remain the property of South Bank Corporation and be subject to approved disposal instructions and storage requirements.

### **2.6 Disposal Principles**

#### **2.6.1 Authority of Queensland State Archives**

Records are not to be disposed of, either transferred as State archives or destroyed, unless their disposal is authorised under the Public Records Act or by reference to Retention and Disposal Schedules approved by the Queensland State Archives.

### **2.6.2 Authority of Records Clerk**

Records are not to be disposed of, either transferred as State archives or destroyed, without consultation with and the prior approval of the Records Clerk.

### **2.7 Transfer of records to offsite storage**

All records transferred to an offsite storage provider are to be listed and have an appropriate retention authority.

### **2.8 Transfer records as State archives**

Records designated as State archives are to be transferred promptly and safely to the custody of the Queensland State Archives upon expiry of their retention periods. All details are to be entered into the eDRMS.

All records transferred as State archives are to be listed and have an appropriate disposal authority in accordance to the Queensland State Archives transfer and custody guidelines. All details are to be entered into the eDRMS.

### **2.9 Destruction of records**

Destruction of inactive records is to be conducted in a manner, which meets the requirements of confidentiality and in accord with procedures specific to the security classification of the records.

All records to be destroyed are to be listed and have an appropriate disposal authority. All details are to be entered into the eDRMS. This excludes ephemeral records.

### **2.10 Storage of Records**

Semi-active records should be stored in an offsite repository unless adequate storage areas are available.

### **2.11 Access and Security**

Records are to be managed in accord the following main security classifications:

- Protected;
- In-Confidence/Restricted Access; or
- Unrestricted.

All staff have a responsibility to manage records with regard to their security classification.

Business Unit managers are to ensure that local procedures covering creation, storage, access, removal/movement and labelling of records, file covers and transport containers promote the integrity and confidentiality of departmental information.

## **2.12 Training**

Adequate training is to be provided to staff in all aspects of the document and records management programme.

## **2.13 Disaster Recovery**

The disaster recovery plan for both paper and electronic records is an integral component of the organisation's Disaster Recovery and Business Continuity Plan.

South Bank Corporation is to maintain a current Disaster Recovery and Business Continuity Plan incorporating Queensland State Archive's guidelines for paper and electronic records.

South Bank Corporation is to incorporate a Vital Records Programme in its Disaster Recovery and Business Continuity Plan safeguarding the organisation in the case of an emergency.

## **2.14 Compliance**

### **2.14.1 Performance Indicators**

South Bank Corporation is to develop and provide a range of performance indicators that assist the organisation in monitoring and measuring the performance of recordkeeping practices in relation to the document and records management programme.

### **2.14.2 Breaches**

Breaches of the Document and Records Management Policy may result in disciplinary action. Any attempted or suspected misuse; improper access, improper release or destruction of records or information is to be reported to General Manager Corporate Services.

## **2.15 Enquiries**

Enquiries in relation to document and records management are to be directed to the Records Clerk.

## **Section 3: Roles and Responsibilities**

### **3.1 All Staff**

All South Bank Corporation staff are accountable for the decisions they make and the basis on which those decisions are made.

Good recordkeeping is the responsibility of every member of staff. Each member of staff has a number of basic obligations to meet in relation to recordkeeping. They are required to:

- ensure that records are created to provide evidence of business transactions;
- register documents in the eDRMS and place them in a registered file as soon as possible after receipt/creation;
- use document version control functionality in the eDRMS for the management of electronic documents;
- place physical documents on file in date or action order;
- adopt approved file movement and tracking procedures;
- evaluate documents to ensure that their titles are specific enough to reflect the information contained within the file;
- return files to the appropriate storage area location when no longer required;
- ensure papers are not removed from files or re-arranged within files;
- ensure no papers are attached to closed files; if additional papers are created once a file has been closed, a part file should be created;
- not disclose or use any information without official approval; and
- ensure that official records are not maintained personally or privately by employees.

### **3.2 Business Unit Managers**

The Business Unit Managers are responsible for ensuring that the day-to-day operations for the area's document and records management and compliance are maintained and support services are available.

### **3.3 Records Clerk**

The Records Clerk is responsible for:

- managing and maintaining the day to day document and records management processes and operations;
- supporting staff within their areas on document and records management matters; and
- managing and providing advice regarding the development and implementation of the document and records management system and resources throughout South Bank Corporation to ensure the provision of accurate, cost effective and responsive access to administrative and operational records.

### 3.4 Chief Executive Officer (CEO)

The Public Records Act places on the CEO a duty to ensure that South Bank Corporation complies with its requirements, and with those of any relevant Regulations.

The CEO is also responsible for ensuring compliance with other legislative provisions relating to records.

### Glossary

Definition	Meaning
Business activity	Umbrella term covering all the functions, processes, activities and transactions of an organisation and its employees. Includes public administration as well as commercial business.
Business Classification Scheme (BCS)	The BCS list functions and their associated activity and subject descriptors. It shows the hierarchical arrangement of terms and the connections between terms.
Disaster Recovery and Business Continuity Plan	It describes how an organisation is to deal with potential disasters. It consists of the measures taken to prevent or minimise the impact of a disaster, protection strategies for vital records, and disaster recovery and restoration procedures to be followed, if a disaster occurs. Typically, disaster recovery planning involves an analysis of business processes and continuity need
Disposal Authority	Pre-determined guidelines showing what records can be destroyed and when these records may be destroyed by specifying a retention period; and what records cannot be destroyed, that is must be retained permanently. These records are known as State archives
Document and Records Management	The discipline and organisational function of managing documents and records from their creation or receipt, through processing, distribution, organisation, and retrieval, to their ultimate preservation and disposal, to meet operational business
E-mail	<p>A computer based message sent over a communications network to one or more recipients, which may be transmitted with attachments such as electronic files containing text, graphics, images, digitised voice or computer programs.</p> <p>An electronic mail message constitutes a transaction and therefore constitutes a record. Apart from the content of an electronic mail message, its contextual data, such as the name and position of the sender and recipient, date and time of sending, whether and when it has been read, copied to other staff, and links to replies and enclosed documents, should also be captured and maintained.</p>
Electronic records	Records communicated and maintained by means of electronic equipment.

Definition	Meaning
Ephemeral records	Records of little value that only need to be kept for a limited or short period of time. Ephemeral records have no continuing value to the organisation and, generally, are only needed for a few hours or a few days. Refer to Section 3 of the SBC Procedures Manual for guidelines on the disposal of such records.
Files	A file is a collection of documents that show organisational activities through an identifiable sequence of transactions.
Inactive records	Records that are no longer required for use by the organisation in the conduct of its activities and functions. These records can either be destroyed upon the expiry of their minimum retention period as suggested by the disposal authorities or they are of permanent value and are to be transferred to QSA to be retained as State archives.
Recordkeeping	Making and maintaining complete, accurate and reliable evidence of business transactions in the form of recorded information.
Records	Recorded information, in any form, including data in computer systems, created or received and maintained by an organisation or person in the transaction of business of the conduct of affairs and kept as evidence of such activity.
Records clerk	Staff member responsible for managing and maintaining the day to day records management processes and operations and supporting staff within the organisation.
Semi-active records	Records that are no longer frequently used by the organisation in the conduct of its activities and functions (i.e. once or twice a year).
State Archives	Records that are permanently retained for their historical, research and intrinsic value and are transferred to Queensland State Archives.
Transfer	The change in physical custody of records from one organisation or unit to another, e.g. from an office to Queensland State Archives.
Vital Records	Records containing essential information, necessary for the resumption of operations after a disaster, the re-establishment of the legal and financial status of the organisation, and for the determination of the rights and obligations of individuals and corporate bodies with respect to the organisation.