

Public Records Brief

A RECORDKEEPING UPDATE FOR QUEENSLAND PUBLIC AUTHORITIES – JULY 2009

Revised Recordkeeping Information Standards

This Public Records Brief provides advice on the changes to *Information Standard 40: Recordkeeping*, *Information Standard 31: Retention and Disposal of Public Records* and the repeal of *Information Standard 41: Managing Technology-Dependent Records*.

Public authorities are required to make 'full and accurate records' in accordance with the *Public Records Act 2002* (the Act), *Information Standard 40: Recordkeeping* (IS40) and *Information Standard 31: Retention and Disposal of Public Records* (IS31).

In June 2009, Queensland State Archives reviewed and re-released IS40 and IS31 and the *Guideline for Recordkeeping*, and announced the repeal of *Information Standard 41: Managing Technology Dependent Records* (IS41). This review supported the Queensland Government's commitment to revise the recordkeeping Information Standards, as outlined in *The Right to Information: A Response to the Review of Queensland's Freedom of Information Act*.

Previous consultation undertaken by Queensland State Archives had proposed repealing IS41, and this latest review allowed the formal repeal of that Standard, and the incorporation of any necessary elements into the revised IS40.

Review Process

The review involved a number of consultation activities including: meetings with public authority representatives; written feedback from public authorities; and the circulation of draft Standards and implementation advice during a six week consultation period. This methodology is in accordance with the Queensland Government Chief Information Office process for the review of Information Standards.

Revised Information Standards

The Information Standards and associated implementation advice have been revised to incorporate the feedback received. This Public Records Brief outlines key changes to the Information Standards and the associated implementation advice. The intent of the Standards remains the same, however amendments have been made to ensure the Standards align with the wider information management reforms across Government, are written in plain English and provide clear advice on the minimum requirements for compliance.

Information Standard 40: Recordkeeping

The seven principles of IS40 are unchanged. They are:

Principle 1: Public authority recordkeeping must be compliant and accountable.

Principle 2: Recordkeeping must be monitored and audited for compliance.

Principle 3: Recordkeeping activity must be assigned and implemented.

Principle 4: Recordkeeping must be managed.

Principle 5: Recordkeeping systems must be reliable and secure.

Principle 6: Recordkeeping must be systematic and comprehensive.

Principle 7: Full and accurate records must be made and kept for as long as they are required for business, legislative, accountability and cultural purposes.



Through the consultation activities, feedback was sought on the principles or requirements in the current Standard that required clarification or proved challenging to implement. In response to this feedback, the following changes were made:

- The incorporation of aspects of IS41, such as examples and implementation advice related to electronic and other technology-dependent records
- Listing of minimum requirement statements for each Principle, to guide agencies in applying the Standards
- The addition of implementation advice under each Principle, which had previously been included in the *Best Practice Guide to Recordkeeping* and other reference material.

Information Standard 31: Retention and Disposal of Public Records

For IS31, it was determined that the statements of principle required some refinement. The principles have been revised, as noted below, however the intent of the Standard and the principles remain consistent.

<i>Current principle</i>	<i>Revised principle</i>
Principle 1: Appraisal and retention	Principle 1: Public authorities must ensure public records are retained for as long as they are required
Principle 2: Disposal authorisation and management	Principle 2: The disposal of public records must be authorised by the State Archivist

In response to feedback, amendments have been made to the wording of the Standard, including:

- The inclusion of a definition of the term 'disposal' in the Purpose section of the Standard
- Listing of minimum requirement statements for each Principle, to guide agencies in applying the Standards
- Clarification of the role of the CEO in authorising the disposal of public records.

Guideline to Recordkeeping

The *Best Practice Guide to Recordkeeping* has been replaced by the *Guideline for Recordkeeping*. The Guideline is designed to provide an overview for public authorities on their obligations under the *Public Records Act 2002* and the Information Standards. It provides background and reference information as well as pointers to detailed policy and guidelines on particular topics available through the Queensland State Archives' website.

Further details of key changes

Queensland State Archives has mapped specific changes to the Information Standards to assist in determining compliance with the revised Standards. Changes are detailed in the following pages.

For more detailed guidance on the management of public records visit the Queensland State Archives' website at <http://www.archives.qld.gov.au>, or contact us on:

Telephone: (07) 3131 7777

Email: info@archives.qld.gov.au

Information Standard 31: Retention and Disposal of Public Records

Previous section title	New section title	Key changes
Purpose	Purpose	<p>The benefits of systematic, transparent and consistent disposal programs have been listed. A definition of the term ‘disposal’ has been added.</p> <p>In this Information Standard, the term ‘disposal’ includes:</p> <ul style="list-style-type: none"> • Keeping all or part of a record for a period of time • Destroying, deleting or migrating a record or part of a record, and • Abandoning, transferring, donating or selling a record or part of a record.
Policy	Policy	<p>This section now includes details regarding the disposal of records under an approved Retention and Disposal Schedule. The disposal of records under an approved Retention and Disposal Schedule must be:</p> <ul style="list-style-type: none"> • Authorised by the Chief Executive (or their delegate) • Documented, and • Managed in accordance with security and environmental requirements.
	Scope	<p>The information in the Scope statement was previously in the purpose statement. This information has been expanded to define public authorities, applicable environments, formats, business activities and outsourced functions.</p>
Issue and review	Issue and review	<p>Updated to reflect the current information management environment.</p>
Principle 1: Appraisal and retention	Principle 1: Public authorities must ensure public records are retained for as long as they are required	<p>In accordance with the Queensland Government Chief Information Office (QGCIO) template for Information Standards, all principles now include details of minimum requirements which agencies are expected to achieve. At a minimum, public authorities must:</p> <ul style="list-style-type: none"> • Dispose of the agency’s administrative records according to the relevant classes under the <i>General Retention and Disposal Schedule for Administrative Records</i>. • Develop a Retention and Disposal Schedule covering the core-business records of the agency for approval by the State Archivist.
	Implementation Advice	<p>The Implementation Advice has been expanded to include advice which previously had been included in the <i>Best Practice Guide to Recordkeeping</i> and other reference material.</p>
Principle 2: Disposal authorisation and management	Principle 2: The disposal of public records must be authorised by the State Archivist	<p>This principle now includes details of minimum requirements which agencies are expected to achieve. At a minimum, public authorities must:</p> <ul style="list-style-type: none"> • Dispose of public records in accordance with a Retention and Disposal Schedule approved by the State Archivist and current at the time of disposal • Ensure all disposal is endorsed by the Chief Executive or an authorised delegate • Ensure the method of destruction of public records is appropriate to the sensitivity of the records, and • Document the disposal of public records.
	Implementation Advice	<p>The Implementation Advice has been expanded to include advice which previously had been included in the <i>Best Practice Guide to Recordkeeping</i> and other reference material.</p>

Information Standard 40: Recordkeeping

Previous section title	New section title	Key changes
Purpose	Purpose	The purpose has been clarified, with the statements relating to business benefit relocated to the <i>Guideline for Recordkeeping</i> and implementation advice.
Policy Statement	Policy	The policy statement provides a statement of public authority obligations, and an expansion of the concept of recordkeeping systems. The seven mandatory principles are summarised.
	Scope	The information in the Scope statement was previously in the purpose statement. This information has been expanded to define public authorities, applicable environments, formats, business activities and outsourced functions.
Issue and review	Issue and review	Updated to reflect the current information management environment.
Implementation	Implementation	New section provides a summary of compliance deadlines, references the new <i>Guideline for Recordkeeping</i> and Queensland State Archives' <i>Recordkeeping Policy Framework</i> .
Principle 1: Recordkeeping must ensure public authorities are compliant and accountable	Principle 1: Public authority recordkeeping must be compliant and accountable	In accordance with the QGCIO template for Information Standards, all principles now include details of minimum requirements which agencies are expected to achieve. These minimum requirements have previously been advised to public authorities through the Self-Assessment Checklist and IS40 Compliance Survey. At a minimum, public authorities must: <ul style="list-style-type: none"> • Document the business, administrative and legal environment in which they operate, and identify the records which need to be created and managed within those contexts. • Implement a strategic approach to recordkeeping that is endorsed by the agency's Chief Executive.
	Implementation advice	Implementation advice which had previously been included in the <i>Best Practice Guide to Recordkeeping</i> and other reference material has been added to the Principle.
Principle 2: Recordkeeping must be monitored and audited for compliance	Principle 2: Recordkeeping must be monitored and audited for compliance	This principle now includes details of minimum requirements which agencies are expected to achieve. At a minimum, public authorities must: <ul style="list-style-type: none"> • Incorporate an assessment of recordkeeping compliance and performance into internal audit and/or business improvement process reviews. • Act upon any compliance issues identified by reviews or audit processes to improve records management within the agency.
	Implementation advice	Implementation advice which had previously been included in the <i>Best Practice Guide to Recordkeeping</i> and other reference material has been added to the Principle.

Principle 3: Recordkeeping activity must be assigned and implemented	Principle 3: Recordkeeping activity must be assigned and implemented	In accordance with the QGCIO template for Information Standards, this principle now includes details of minimum requirements which agencies are expected to achieve. At a minimum, public authorities must: <ul style="list-style-type: none"> Formally assign responsibility for recordkeeping activities to those conducting Government business. Communicate roles and responsibilities for records management across the organisation.
	Implementation advice	Implementation advice which had previously been included in the <i>Best Practice Guide to Recordkeeping</i> and other reference material has been added to the Principle.
Principle 4: Recordkeeping must be managed	Principle 4: Recordkeeping must be managed	In accordance with the QGCIO template for Information Standards, this principle now includes details of minimum requirements which agencies are expected to achieve. At a minimum, public authorities must: <ul style="list-style-type: none"> Assign responsibility for recordkeeping to an appropriately skilled manager or senior administrative officer. Implement an identifiable records management program with documented policies, procedures and business rules.
	Implementation advice	Implementation advice which had previously been included in the <i>Best Practice Guide to Recordkeeping</i> and other reference material has been added to the Principle.
Principle 5: Recordkeeping systems must be reliable and secure	Principle 5: Recordkeeping systems must be reliable and secure	This principle now includes details of minimum requirements which agencies are expected to achieve. All systems that are used to create and maintain records must work reliably and be secure to ensure that records are credible and authoritative regardless of format. At a minimum, public authorities must: <ul style="list-style-type: none"> Implement recordkeeping systems which are secure from unauthorised access, damage and misuse.
	Implementation advice	Implementation advice which had previously been included in the <i>Best Practice Guide to Recordkeeping</i> and other reference material has been added to the Principle.
Principle 6: Recordkeeping must be systematic and comprehensive	Principle 6: Recordkeeping must be systematic and comprehensive	This principle now includes details of minimum requirements which agencies are expected to achieve. At a minimum, public authorities must: <ul style="list-style-type: none"> Implement processes to ensure records are created, stored and maintained systematically. Ensure records document the complete range of business undertaken by a public authority.
	Implementation advice	Implementation advice which had previously been included in the <i>Best Practice Guide to Recordkeeping</i> and other reference material has been added to the Principle.

<p>Principle 7: Full and accurate records must be made and kept for as long as they are required for business, legislative, accountability and cultural purposes.</p>	<p>Principle 7: Full and accurate records must be made and kept for as long as they are required for business, legislative, accountability and cultural purposes.</p>	<p>This principle now includes details of minimum requirements which agencies are expected to achieve and a thorough description of the characteristics of full and accurate records in all technological environments.</p> <p>Full and accurate records are a combination of processes (such as the creation and capture of records) and essential attributes of records (such as being meaningful, inviolate and complete) which combine to provide necessary accountability. They must be made and kept for as long as they are required for business, legislative, accountability and cultural purposes. At a minimum, public authorities must:</p> <ul style="list-style-type: none"> • Classify records in accordance with a Business Classification Scheme based on an analysis of the public authority's functions and activities. • Manage the retention and disposal of records in accordance with <i>Information Standard 31: Retention and Disposal of Public Records</i>. • Capture minimum recordkeeping metadata for all records in accordance with the <i>Queensland Recordkeeping Metadata Standard</i>.
	<p>Implementation advice</p>	<p>Implementation advice which had previously been included in the <i>Best Practice Guide to Recordkeeping</i> and other reference material has been added to the Principle.</p>