

**CULTURAL FACILITIES CORPORATION**  
**Records Management Program**

incorporating

**Records Management Policy**

and

**Records Management Procedures**

Authorised by :



Harriet Elvin  
Chief Executive Officer  
Cultural Facilities Corporation

Date endorsed :

30 September 2015

Date for review :

30 September 2020

Version

Version 1.0



**DOCUMENT PROPERTIES**

**Approval**

<b>Date approved</b>	
<b>Approved Version</b>	Version 1.0
<b>Review Date</b>	September 2020

**Schedule of Amendments**

<b>New features (insertions)</b>	
	Date
<b>Enhancements (changes)</b>	
	Date
<b>Deletions</b>	
	Date

**Amendment History**

<b>Version No.</b>	<b>Issue Date</b>	<b>Author</b>
Version 1.0	September 2015	Ian Tidy

**Details**

<b>Area responsible for Program</b>	CFC - Corporate
<b>Stakeholders</b>	All Cultural Facilities Corporation Staff
<b>Document location</b>	<a href="G:\CFC\Staff\Records Management Program\20150930 Cultural Facilities Corporation Records Management program.pdf">G:\CFC\Staff\Records Management Program\20150930 Cultural Facilities Corporation Records Management program.pdf</a>
<b>File number and name</b>	2015/633 – Information Management – Policy – Records Management Program

**Table of Contents**

<b>SECTION 1</b>	<b>RECORDS MANAGEMENT PROGRAM : INTRODUCTION</b>	<b>5</b>
1.1	Distinct and identifiable (Principle 1 of Standard 1)	5
1.2	Compliant with the Act (Principle 1 of Standard 1)	5
1.3	Approved (Principle 1 of Standard 1)	5
1.4	Given to the Director of Territory Records (Principle 1 of Standard 1)	6
1.5	Implementation (Principal 3 of Standard 1)	6
1.6	Available for inspection by the public (Principle 1 of Standard 1)	6
1.7	Consistent with administrative directions of Government (Principle 1 of Standard 1)	7
1.8	The responsibility of an identified senior manager (Principle 1 of Standard 1)	7
1.9	Contains a compliant Records Management Policy (Principle 2 of Standard 1)	7
1.10	Contains compliant Records Management Procedures (Principle 3 of Standard 1)	7
1.11	Measured and reviewed (Principle 4 of Standard 1)	7
1.12	Approval by the Principal Officer (Principle 1 of Standard 1)	8
<b>SECTION 2</b>	<b>RECORDS MANAGEMENT PROGRAM : POLICY</b>	<b>9</b>
2.1	Preamble	9
2.2	Agency recordkeeping requirements	9
2.3	Full and accurate records	9
2.4	Ownership of records	9
2.5	Responsibilities of staff in relation to recordkeeping	9
2.6	Records Management Procedures	10
2.7	Recordkeeping Standards	10
2.8	Relationship to other policies	10
2.9	Review of policy and procedures	10
<b>SECTION 3</b>	<b>RECORDS MANAGEMENT PROGRAM : PROCEDURES</b>	<b>11</b>
3.1	Introductory Procedures material	11
	<i>Purpose</i>	11
	<i>Compliance by all staff</i>	11
	<i>Scope</i>	11
	<i>Date and Duration</i>	11
3.2	Recordkeeping environment	11
	<i>Recordkeeping System</i>	11
	<i>Records Management Principles</i>	12
	<i>Outline of the legislative environment</i>	13
	<i>Recordkeeping standards employed</i>	13
3.3	Resourcing the Records Management Program	14
	<i>Financial resources</i>	14
	<i>Human resources</i>	14
3.4	Recordkeeping practices and business rules	17
	<i>The recordkeeping system</i>	17
	<i>Making and capturing records</i>	21
	<i>Locating records</i>	22

Cultural Facilities Corporation – Records Management Program

	<i>Storage and movement of records</i>	23
	<i>Preservation of records</i>	24
	<i>Disposal of records</i>	25
	<i>Public access and use</i>	28
3.5	<b>Other compliance information</b> .....	31
	<i>Notification of outsourcing</i>	31
	<i>Examination by Director of Territory Records</i>	31
	<i>Dispute resolution</i>	31
	<i>Compliance Reporting</i>	32
	<i>Records Management Program explanatory documentation</i>	32
3.6	<b>Program evaluation and review</b> .....	32
	<i>Performance measurement and evaluation</i>	32
	<i>Provision for review of Program</i>	32
<b>SECTION 4</b>	<b>RECORDS MANAGEMENT PROGRAM : BUSINESS SYSTEMS</b> .....	<b>33</b>
4.1	<b>Business System Descriptive Elements</b> .....	<b>34</b>

## **SECTION 1 RECORDS MANAGEMENT PROGRAM : INTRODUCTION**

The [Territory Records Act 2002](#) (the Act) requires ACT Government Directorates to have an approved Records Management Program. This introductory section of the Records Management Program deals with characteristics of the Program and administrative arrangements that affect it.

### **1.1 Distinct and identifiable (Principle 1 of Standard 1)**

This is the Records Management Program for the Cultural Facilities Corporation (CFC). It complements the existing information management framework, policies and is a strategic document supporting the organisational objectives and outcomes.

### **1.2 Compliant with the Act (Principle 1 of Standard 1)**

This Records Management Program for the CFC :

- addresses all of the elements set out in section 16 of the Act; and
- meets all of the requirements set out in the Standards and Codes released by the Director of Territory Records under the Act.

This Records Management Program follows the sample Program contained in the Guideline. This Program for the CFC has been checked to ensure that all the items in the checklist can be answered with a “Yes”.

### **1.3 Approved (Principle 1 of Standard 1)**

In being signed off by the Chief Executive Officer (CEO) of the CFC, as defined at Section 8 of the Act, this Records Management Program meets the requirements of the Act for approval.

This Records Management Program meets the requirement of Section 17 of the Act, because :

- it complies with approved Standards and Codes;
- the agency has notified the Director of Territory Records as to which approved functions from the [Whole of Government Records Disposal Schedules](#) are appropriate for the records created by the CFC;
- the Records Management Program contains all the arrangements required under Section 16 (2) of the Act; and
- in relation to records that could allow people to establish links with Aboriginal or Torres Strait Islander heritage, it has consulted with the Territory Records Advisory Council.

The Principal Officer’s approval is evidence that appropriate resources are available to enable the Program to be established and maintained. The approval indicates that all the elements outlined above have been satisfied. The contents of the approved Records Management Program will be promulgated throughout the agency in a way that enables all employees to know of the Program and its contents.

#### **1.4 Given to the Director of Territory Records (Principle 1 of Standard 1)**

As required under Section 17(3) of the Act, a copy of the Records Management Program for the CFC will be given to the Director of Territory Records immediately after approval of the Program.

#### **1.5 Implementation (Principal 3 of Standard 1)**

As Principal Officer of the CFC, I ensure that this agency complies with its Records Management Program, which will be implemented by the following means :

- the CFC's Records Management Program provides suitable performance indicators and directions and targets, as appropriate, to enable inclusion as a result area in corporate plans and where appropriate Annual Reports, on matters relating to the CFC's records management;
- all of the CFC's records are stored in an appropriate and secure environment;
- the roles, authorities and responsibilities of all staff of the CFC in relation to recordkeeping are defined and promulgated to all staff;
- relevant position profiles and duty statements reflect the records management skills required by the CFC;
- programs may have appendices that are part of the Program and provide explanatory material to aid in stakeholder understanding or useability of the Records Management Program;
- training is available for records management and general staff in recordkeeping skills and responsibilities;
- Records Disposal Schedules have been approved by the Director of Territory Records under section 17 (1) (b) of the Act for the CFC's functions and their use is monitored;
- performance measurement forms an integral part of the Program; and
- the CFC's Records Management implementation is reported on annually in accordance with current Annual Report Directions issued by the Chief Minister, Chief Minister, Treasury and Economic Development Directorate (CMTEDD).

#### **1.6 Available for inspection by the public (Principle 1 of Standard 1)**

Section 21 of the Act requires that Records Management Programs must be available for inspection by the public. After approval by the Principal Officer, this entire Program (subject to the qualification below) will be available free of charge :

- during ordinary working hours at the office of the Principal Officer; and
- on the Internet and findable using common search terms, by commonly available search engines.

In addition, copies of the Records Management Program may be made available for public inspection at other places on other media.

Where elements of the CFC's Records Management Program refer to the existence of documents affecting relations with the Commonwealth and the States, or affecting the enforcement of the law and the protection of public safety which should not be made available to the public, the CFC will release a modified version of the Program, which protects this information. This echoes the practice of the [Freedom of Information Act 1989](#).

### **1.7 Consistent with administrative directions of Government (Principle 1 of Standard 1)**

The Records Management Program for the CFC acknowledges, where relevant, administrative directions of the Government, and meets these requirements.

Specific administrative directions with which this Program is consistent are :

- government-acknowledged reports that provide explanation of Administrative Arrangements Orders, such as the report, *“Governing the City State : One ACT Government – One ACT Public Service”*, February 2011;
- government-acknowledged reports that impact on recordkeeping and records management, including the report by Enterprise Knowledge Pty Ltd, *“Digital Recordkeeping Pathway”*, August 2011;
- any other Government-acknowledged reports that are relevant to the operation of the CFC Records Management Program including :
  - ACT Government Cabinet Handbook;
  - CFC Business Continuity Plan;
  - CFC Strategic Risk Management Plan; and
  - CFC Corporate Plans.

### **1.8 The responsibility of an identified Senior Manager (Principle 1 of Standard 1)**

The Chief Financial Officer (CFO) is the CFC’s Executive in charge of records management, including this Records Management Program.

### **1.9 Contains a compliant Records Management Policy (Principle 2 of Standard 1)**

The Records Management Program of the CFC provides a structure for reliable, systematic and well-managed recordkeeping within a framework of consistent and accountable implementation. This is achieved by monitoring established policies and procedures that govern recordkeeping matters in the CFC.

[Section 2 Records Management Programs : Policy](#) contains the Records Management Policy for the CFC.

### **1.10 Contains compliant Records Management Procedures (Principle 3 of Standard 1)**

The Records Management Procedures of the CFC specify how the policy will be implemented. The procedures detail the practical requirements of recordkeeping and identify responsibility for each of the tasks in the recordkeeping process.

[Section 3 Records Management Programs : Procedures](#) of this Records Management Program contains the Records Management Procedures for the CFC.

### **1.11 Measured and reviewed (Principle 4 of Standard 1)**

Principle 4 of [Territory Records Office Standard for Records Management No.1 - Records Management Programs](#) requires agencies to establish review mechanisms and performance measures for their recordkeeping and Records Management Programs.

Recordkeeping systems of the CFC may be audited in order to ensure that they continue to comply with regulatory requirements, that they remain relevant to the agency's needs and in order to make improvements to current systems.

The whole of the Program is reviewed no less than every five years. In practice, the CFC may adopt a staged approach where a single element of the plan is identified for review in a given period.

The CFC's Records Management Program can be delivered only with suitably trained and skilled staff. In accordance with the responsibilities outlined elsewhere in this Program, the CFC implements the following requirements :

- training in recordkeeping skills covers key staff and delivers skills and awareness of differing levels according to the exposure of each person to CFC's compliance records management requirements. It also covers records in all formats and all of the CFC's recordkeeping systems, including the CFC's nominated functions from the [Whole of Government Thesaurus of Terms](#) and the [Whole of Government Records Disposal Schedules](#);
- the CFC's Human Resource Advisor and Business Unit Contact Officers document recordkeeping training courses attended by staff and encourage participation in the training courses available; and
- if required the CFC will request assistance, advice and training from the Director of the Territory Records Office (TRO).

#### **1.12 Approval by the Principal Officer (Principle 1 of Standard 1)**

In accordance with Section 8 of the [Territory Records Act 2002](#) I, Chief Executive Officer of Cultural Facilities Corporation (CFC) hereby approves the records management policy and procedures applying in CFC.

In accordance with my responsibilities, I :

- approve the CFC Records Management Program and provide a copy to the Director of Territory Records;
- certify the approved Records Management Program complies with the requirements of the Act and its associated codes; and
- make the CFC's Records Management Program available for public inspection with any exempt material, such as documents affecting relations with the Commonwealth, the States and Territories, or affecting the enforcement of the law and the protection of public safety, or affecting privacy, clearly identified.

Harriet Elvin  
Chief Executive Officer  
Cultural Facilities Corporation  
September 2015

## **SECTION 2 RECORDS MANAGEMENT PROGRAM : POLICY**

### **2.1 Preamble**

The [Territory Records Act 2002](#) requires ACT agencies to have, and to comply with, a Records Management Program. This policy outlines the Records Management Program for the CFC and details how the CFC will adhere to the requirements of the Act.

### **2.2 Agency recordkeeping requirements**

The CFC makes, manages and keeps records to support its business needs, legal and regulatory obligations, and broader community expectations. An analysis of these requirements, and an outline of the types of records that this analysis reveals CFC must make and keep, is given in CFC's Records Management Procedures (Section 3).

### **2.3 Full and accurate records**

The making and keeping of full and accurate records of the CFC's activities is essential to attain its stated outcomes. It is essential therefore, for all staff to make and keep full and accurate records of their activities, to ensure that such records are incorporated into the CFC's recordkeeping system and to comply with all records management procedures.

### **2.4 Ownership of records**

All records made or received by the CFC are the corporate property of the agency. All records that staff make, receive and maintain as part of their duties belong to the CFC and no records belong to individual employees. The CFC retains control of all records required for service delivery in accordance with [Standard No.5 – Recordkeeping and Outsourced Government Business](#), and ownership of records and/or the intellectual property they contain is clearly specified in every outsourcing contract.

### **2.5 Responsibilities of staff in relation to recordkeeping**

All staff of the CFC have recordkeeping responsibilities.

The CFO is the CFC's Executive in charge of records management and responsible for :

- ensuring compliance with all parts of the CFC's Records Management Program; and
- ensuring that all parts of the CFC's Records Management Program are kept updated to reflect all recordkeeping requirements that the CFC must meet (including the [administrative directions of government, in Section 1](#) above).

Managers and supervisors at all levels are responsible for ensuring that staff under their direction, including consultants and contractors, meet all the requirements of this policy and the associated procedures. Records management is as important a part of their supervisory and management functions as any other part of their functional responsibilities.

Certain staff have specific records management responsibilities mandated in their position duty statements. These staff have a responsibility to know the recordkeeping procedures in detail, to

model good recordkeeping behaviour and to assist other staff in applying the requirements of the policy and procedures.

All staff have responsibilities in relation to the records of the function they perform. In particular they are required to make accurate records of their activities, to ensure that such records are incorporated into the CFC's recordkeeping system and to comply with all records management procedures.

## **2.6 Records Management Procedures**

This policy is supported by the CFC's Records Management procedures (Section 3).

These detail the way all staff in the CFC will make, modify, use, handle and care for records, how, and for how long records will be kept, and how access to them will be provided.

The CFC will only meet the requirements of the [Territory Records Act 2002](#) if all staff follow the procedures. Therefore adherence to the requirements of both this policy and the CFC Records Management procedures is obligatory for all staff.

## **2.7 Recordkeeping Standards**

The CFC will conform to the [Territory Records Act 2002](#) and [Territory Records Office Standards for Records Management](#). The CFC's policy and procedures have been developed in conformity with both the Act and the Standards. In cases where recordkeeping issues arise which are not covered by the policy or procedures, the CFC will follow advice from the TRO and be guided by the Australian Standard on Records Management, AS ISO 15489.

## **2.8 Relationship to other policies**

Other CFC policies cover issues related to records management. This policy is not to be seen as subordinate to them. In the case of any apparent contradiction between policies the issue is to be referred to the Executive in charge of records management for resolution. The Executive in charge of records management is responsible for seeing that related policies are progressively examined to ensure that they reflect the requirements of this policy without detracting from their own purposes.

This policy is consistent with the CFC's Code of Conduct and the ACT Government's Code of Ethics.

## **2.9 Review of policy and procedures**

This Policy will be reviewed in September 2020. The Executive in charge of records management is responsible for initiating this review.

The Executive in charge of records management may also initiate a review of this policy at an earlier date if circumstances make it appropriate to do so. Circumstances that would be likely to make such a review appropriate include a major change in the functions of CFC or significant administrative change in it.

### **SECTION 3 RECORDS MANAGEMENT PROGRAM : PROCEDURES**

The [Territory Records Act 2002](#) (the Act) requires ACT Government Directorates to have an approved Records Management Program. Principle 3 of [Standard No.1 – Records Management Programs](#), issued under the Act, requires Programs to be implemented. This section contains procedures by which the CFC will implement its Records Management Program, based on its Records Management policies (Principle 2 of Standard No.1).

#### **3.1 Introductory Procedures material**

##### ***Purpose***

These Records Management procedures for the CFC detail the means by which the CFC will implement its Records Management Policies (Section 2).

##### ***Compliance by all staff***

All staff of the CFC must comply with these Procedures. Where functions are outsourced, the outsourcing contract specifies the extent of compliance with these procedures by staff under the outsourcing contract.

##### ***Scope***

These procedures are designed to be a guide for staff of CFC.

##### ***Date and Duration***

These Procedures apply from the date of approval of Section 1 of the Records Management Program of the CFC by its Principal Officer under the Act. They remain in force until reviewed (see below).

#### **3.2 Recordkeeping environment**

##### ***Recordkeeping System***

The CFC's recordkeeping systems are a systematic procedure by which records are created, captured, maintained, and disposed of. These systems also ensure their preservation for evidential purposes, accurate and efficient updating, timely availability and access control.

The CFC holds records in a range of formats, such as paper, electronic, photographs and microfilm. It operates with recordkeeping systems for paper-based and digital records.

The paper-based system comprises :

- Shared Services, ACT Records Services staff who are responsible for, and have the skills to manage the Directorate's files;
- in-house Human Resource records for the management of all current ACT Government personnel records;
- officers who understand the processes and procedures for requesting files to be created, accessed and retained by Shared Services, ACT Records Services;

- a Records Management policy that enforces the proper use of files to record business activity;
- procedures and guidelines that describe the capture, maintenance, and provision of access to the files;
- a collection of paper files;
- the [Whole of Government Thesaurus of Terms](#) that assists in retrieval, classifying records, titling and indexing of records; and
- equipment and stationery (standard file covers, file clips, compactus, computers etc);
- the [Whole of Government Records Disposal Schedules](#) that ensures legal disposal of paper files and records.

The electronic system comprises :

- databases, including ACCPAC (Accounting software), VERNON (Management of collections for ACT Museums and Galleries and ACT Historic Places), ENTA (CTC Ticketing), Micropay (Payroll) and UNGERBOECK (CTC Event management) databases for electronic records;
- Microsoft Word Documents;
- Microsoft Excel Documents;
- digital documents in portable document format (pdf files); and
- other digital document formats in use by CFC.

The majority of these are maintained within the CFC's shared corporate drives maintained by Shared Services ICT. The CFC's corporate drives do not have complete recordkeeping functionality.

Note: Controlled internally within the CFC are building plans kept in a set of plan drawers at CMAG and a large hanging map cabinet located at Lanyon holds a number of maps relating to ACT Historic Places.

### ***Records Management Principles***

The CFC adopts the key principles of records management as outlined in The Australian Standard on Records Management, AS ISO 15489 :

- Records are made, received and used in the conduct of business activities. To support the continuing conduct of business, comply with the regulatory environment, and provide necessary accountability, the CFC makes and maintains authentic, reliable and useable records, and protects the integrity of those records for as long as required. To do this, the CFC has carried out a records management program that has included :
  - determining what records should be made in each business process, and what information needs to be included in the records;
  - deciding in what form and structure records should be made and captured, and the technologies to be used;
  - determining what metadata should be made with the record and through records processes how that metadata will be persistently linked and managed;
  - determining requirements for retrieving, using and transmitting records between business processes and other users and how long they must be kept to satisfy those requirements;

- deciding how to organise records so as to support requirements for use;
  - assessing the risks that would be entailed by failure to have authoritative records of activity;
  - preserving records and making them accessible over time, in order to meet business requirements and community expectations;
  - complying with legal and regulatory requirements, applicable standards and public service policy;
  - ensuring that records are maintained in an appropriate and secure environment;
  - ensuring that records are retained only for as long as needed or required; and
  - identifying and evaluating opportunities for improving the effectiveness, efficiency or quality of its processes, decisions, and actions that could result from better records creation or management.
- rules for creating and capturing records and metadata about records are incorporated into the procedures governing all business processes for which there is a requirement for evidence of activity.
  - business continuity planning and contingency measures ensure that records that are vital to the continued functioning of the organisation are identified as part of risk analysis, protected and recoverable when needed.

### ***Outline of the legislative environment***

Acts influencing the Records Management Program of the CFC include :

- [\*Territory Records Act 2002\*](#) (which details the requirements for recordkeeping for Territory agencies)
- [\*Public Sector Management Act 1994\*](#) (which establishes ‘accountability to the government for the ways in which functions are performed’ as a key value of the ACT Public Service)
- [\*Freedom of Information Act 1989\*](#) (which allows public access to Territory records and gives members of the public the right to see records about themselves).
- *Privacy Act 1988* (which protects members of the public from the misuse of information about themselves and which gives people a right to see records about themselves).
- [\*Evidence Act 1971\*](#) (which provides that a court may need to examine records as evidence of an agency’s decisions and actions and which details requirements relating to the authenticity of electronic records)

Acts for which the CFC has responsibility :

- [\*Cultural Facilities Corporation Act 1997\*](#)

### ***Recordkeeping standards employed***

The CFC adopts the recordkeeping standards contained in the Act, and the Standards and associated Guidelines issued by the Director of Territory Records under the Act.

### **3.3 Resourcing the Records Management Program**

#### ***Financial resources***

Expenses incurred as a result of the operation of the Records Management Program will be met from the CFC's normal budgetary arrangements.

The CFC has a Service Level Agreement with Shared Services, ACT Records Services for the provision of records management and mail services.

#### ***Human resources***

All staff have a responsibility for maintaining and keeping records. The making and keeping of full and accurate records of the CFC's activities is mandatory.

##### **a) Principal Officer**

The CFC's Principal Officer has statutory responsibility under the Act for ensuring that the Records Management Program is created, approved, implemented and adhered to.

##### **b) Senior Manager with responsibility for records management**

The Principal Officer has appointed the CFO to have responsibility for delivering the Records Management Program of the CFC and reporting to the Principal Officer on its delivery. The CFO is responsible for :

- compliance with external Records Management standards;
- the implementation of internal recordkeeping practices;
- ensure all staff are aware of their individual responsibilities to create and keep records in corporate recordkeeping systems in accordance with the agency's Records Management Program;
- ensuring that recordkeeping systems underpin and support business processes;
- the appointment of Records Managers to manage the day-to-day records management of the agency;
- approval of procedures that are included in the agency's Records Management Program;
- ensuring new and existing staff under their control undertake recordkeeping awareness training;
- ensuring full and accurate records of business activities are made and kept;
- developing performance measures and implementing those measures, to meet corporate objectives and relevant standards; and
- reviewing and updating the Records Management Program on a rolling basis such that the entire Program is reviewed and updated at least every five years.

##### **c) Records Manager**

The CFC's Business Unit Director's act as Records Managers who have overall day-to-day responsibility for CFC's records management in their Business Unit including responsibility for:

- Ensuring compliance with CFC's Records Management Program including:

- strategic planning for records management activities, including resourcing, staffing and budgeting;
- assigning records management tasks to identified positions;
- incorporating recordkeeping principles into all business processes;
- obtaining expert advice where required on records management issues and practices;
- meeting all reporting requirements;
- arranging appropriate resources allocation to enable the program to be established and maintained in accordance with the Principal Officer’s commitment in Section 1;
- monitoring that staff charged with specific records management responsibilities are appropriately trained and managed for that task;
- implementing performance measures and evaluation measures to meet corporate objectives and relevant standards; and
- implementing reviews and updates of the Records Management Program on a rolling basis such that the entire Program is reviewed and updated at least every five years.

#### **d) Records Management Staff**

Certain CFC staff has specific records management responsibilities mandated in their position descriptions. These duties cover :

- designing, developing and maintaining recordkeeping systems including the development and maintenance of a functions-based thesaurus;
- applying thesaurus terms from the [Whole of Government Thesaurus of Terms](#) to files to ensure consistent classification, titling and indexing;
- making new files (whether paper files or electronic containers) and closing files;
- accepting non-current files for storage, managing the storage of records, and providing a retrieval service;
- providing training in recordkeeping principles and practices;
- facilitating public access to records in cooperation with CFC’s FOI officer; and
- sentencing records to determine retention periods against the [Whole of Government Records Disposal Schedules](#).

#### **e) All Staff**

Good recordkeeping is practised by staff as a normal part of everyday business processes. Staff fulfils their recordkeeping responsibilities by adhering to CFC’s policy and procedures for records management. In particular, staff have a responsibility to :

- make accurate and full records as evidence of their business activities;
- identify, classify, and capture records including electronic records, into official recordkeeping system(s); and
- protect and dispose of records using approved disposal schedules.

#### **f) Managers & supervisors**

Records management is as important a part of managers’ supervisory and management functions as any other part of their functional responsibilities. Therefore, managers and supervisors at all levels are responsible for encouraging staff under their direction to meet all the requirements of

the Act by complying with CFC's policy and procedures for records management. It is the responsibility of every business manager to support recordkeeping practices and processes of their staff by :

- ensuring appropriate staff attend an introductory recordkeeping course;
- facilitating their staff to have access to tools, procedures and expertise to help them carry out their recordkeeping responsibilities; and
- encouraging compliance with the CFC's Records Management Program within their area(s) of responsibility;
- having detailed knowledge of business recordkeeping requirements in areas for which they are responsible;
- knowing the records management procedures in sufficient detail to be able to meet their responsibility;
- being familiar with the principles of records management;
- ensuring that records are made as evidence of business activity and are captured into official recordkeeping system(s);
- providing guidance and on the job training in good records management practice;
- ensuring that staff have an understanding of records management reaches required standards; and
- monitoring implementation of the records management procedures.

**g) Human Resource Advisor**

The CFC's induction and general training programs include basic records management principles, processes and practices and the need to comply with the CFC's records management policy and procedures. Furthermore, the selection criteria should be reviewed regularly for all record positions to ensure they are kept up-to-date with current concepts and principles.

**h) Marketing Officers with web based responsibilities**

It is essential that web-based records, whether provided in-house or outsourced, are identified and maintained in line with CFC's records management policy and procedures. As such Webmasters are responsible for monitoring compliance. The document owners are responsible for version control on the internet and the intranet.

**i) System Administrators**

System administrators are responsible for maintaining the CFC's electronic recordkeeping systems including maintaining the integrity and authenticity of electronic records and their associated metadata.

**j) Contractors and Consultants**

Contractors and consultants are required to adhere to all relevant parts of the CFC's policy and procedures manual including the need to make and keep full and accurate records.

## k) Exit Protocols

When staff, consultants or contractors leave the CFC all records must be captured onto the CFC's recordkeeping systems and those records not needing to be retained are treated through normal administrative practices.

Computer drives that are not part of the CFC's recordkeeping systems will have all files completely removed from these drives before departure. Documents that need to function as records will be printed off and placed on a file of the CFC. All other documents are to be deleted and folders cleared.

## 3.4 Recordkeeping practices and business rules

### *The recordkeeping system*

All business systems used by the CFC must be capable of capturing, maintaining and providing evidence of its business activities over time to satisfy the CFC's recordkeeping needs.

In order to capture, maintain and provide evidence over time, systems must also be capable of performing various fundamental recordkeeping processes. These processes govern the following operations :

- *Capture* – formally determine that a record should be made and kept;
- *Registration* – formalise the capture of a record into a designated system by assigning a unique identifier and brief descriptive information about it (such as date, time and title);
- *Classification and indexing* – identify the business activities to which a record relates and then link it to other records to facilitate description, control, retrieval, disposal and access;
- *Access and security* – assign rights or restrictions to use or manage particular records. This must include rights and restrictions under the security classifications employed by the ACT Security Classification Scheme;
- *Appraisal* – identify and link the retention period of a record to a functions-based Records Disposal Schedule at the point of capture and registration;
- *Storage* – maintain, handle and store records in accordance with their form, use and value for as long as they are legally required (See also [Territory Records Office Records Advice No. 57 – Records and documents required for legal proceedings](#));
- *Use and tracking* – ensure that only those employees with appropriate permissions are able to use or manage records and that such access can be tracked as a security measure; and
- *Disposal* – identify records with similar disposal dates and triggering actions, review any history of use to confirm or amend the disposal status, and maintain a record of disposal action that can be audited.

## a) Types of Records

Records may be in any form :

- paper, microfilm, electronic;
- documents or files, maps, plans, drawings, photographs etc.;

- data from business systems, word-processed documents, spreadsheets, digital images, databases;
- electronic messages;
- audio or video; and
- handwritten documents.

Common types of records, that will be found across CFC include :

- administrative records – procedures documentation, registers, forms and correspondence (e.g. staff manuals, rosters, travel bookings);
- accounting records – reports, forms and related correspondence (e.g. invoices, bank account records, customer billing reports);
- project records – correspondence, notes, development documentation; and
- case files – client records, personnel records, insurance, contracts and legal files.

#### **b) Electronic messages**

There are two main types of electronic messages :

- records required for ongoing business : transactions that provide evidence of business activities (e.g. directives, development of policy issues); and
- records of ephemeral value : information messages with a business context but not part of a business transaction, (e.g. notification of a meeting or a message containing an attached document, and personal or social messages).

Electronic messages sent or received in the performance of agency business are records. The procedures will assist in the identification of records by cataloguing criteria for assessment such as:

- does the electronic message authorise or approve a particular course of action?
- does the electronic message discuss policy and procedural issues?
- does the electronic message exchange corporate information with an external agency or organization?
- does the message contain information that would normally belong on a file? ; and
- is it likely that others may wish to review and or access the electronic message at a later date?

Private messages that are unrelated to agency business are not electronic messaging records.

Information-only messages (e.g. an email informing staff that there will be an emergency fire drill on the first Tuesday of the following month) should only be considered for retention by the original creator of the message.

In order to maintain their value as evidence, electronic messages must be inviolate; that is, they cannot be altered or manipulated, for as long as they are retained. They must also be a complete record, have content, context and structure, and accurately reflect what was communicated, decided or done.

Content is the substance of the message, either in the body of the text or in an attachment to the message.

Context includes all information about the circumstances in which the message is made, transmitted, maintained and used.

In general, the initiator of an e-message should be responsible for capturing the record into the agency recordkeeping system. Wherever possible the initiator should link the e-message to the relevant file number to make the link to the corporate recordkeeping system. The e-message needs to be printed out and placed on the appropriate paper file.

Recipients of the messages should make their own decisions as to whether they are involved in the business transaction of the message or whether they are only receiving a copy for information. Electronic messages received from outside of the CFC, which are Territory records, must be captured into the recordkeeping system by the receiver.

If the message is consequently forwarded to other recipients, with added content, the message has become a new record and again needs to be captured into the corporate recordkeeping system.

### **c) Web-based activity**

CFC staff have responsibility for making and keeping records of accurate web-based activity and when engaging in social media (Twitter, Facebook, YouTube and Flickr) and resources. Responsibilities must be assigned to individuals or positions, and documented.

Records are to be kept when social media interactions are posted, created, sent or received in the course of business. The web should not be considered a recordkeeping system as it only retains information for the period it is published.

CFC may outsource this function to Shared Services ICT, another agency's internet management team or outside the ACT Public Service. In which case, records of the contractual arrangement will be noted in the procedures.

See also [Territory Records Office Records Advice No. 71 – 75 Record keeping for social media](#)

Shared Services ICT has published a suite of guides complementary to this Guideline that should be used when making websites. These are :

- [Acceptable Use of ICT Resources Policy;](#)
- [Website Development and Management Standard; and](#)
- [Metadata for Web-based Resources Standard.](#)

### **d) Managing other records made electronically**

Programs used to create documents from the Common Operating Environment (COE) or Standard Desktop Environment used throughout Territory agencies, which are the evidence of a business transaction, are Territory records.

For evidentiary purposes, it is necessary to be able to prove who made the record, when it was made, and that it has not been subsequently altered. This is to guard against forgery and alteration of the record by its maker or the administrators of the system. Proof of who made the record and when it was made must be maintained over time. See the [Territory Records Office – Standard Number 9 – Records Digitisation and Conversion](#) and the related Guideline for detailed information.

The format of records made electronically must be able to support itself over time. The record must be in a form that can be easily migrated to new versions, or copied from one medium to another, without loss of quality. Records must remain accessible, as they are of no use if they cannot be located, and must be able to be viewed as the creators originally saw them. The context of the record must also be maintained.

Records made electronically must be captured into the recordkeeping system i.e. shared drives are not recordkeeping systems. Shared drives should only be used as an interim storage location for records before they can be placed into CFC's formal recordkeeping system which requires all records to be printed out and placed on the appropriate registered paper file. Records may also be stored electronically to allow for ease of accessibility but any version change must be added to the paper file.

#### **e) Describing records**

Records need to be described so that they can be retrieved when required. This description must happen when the record is made.

There are six minimum descriptive elements for all records:

- **Date**  
Date the resource was created or made available.
- **Creator**  
An entity primarily responsible for the content of the resource. Creator could include a person, an organization, or a service. At a minimum, agencies should capture both the name and position of records creator.
- **Title**  
A Title will be a name by which the resource is formally known. Agencies must use the [Whole of Government Recordkeeping Thesaurus: A Thesaurus of Classification Terms](#), which is a controlled language system, to classify and structure the title their records.
- **Identifier**  
An Identifier is the number or control symbol that is unique within the agency's recordkeeping system. This distinguishes one record from another and guarantees the authenticity of records within the system. The system used will depend on the agency's needs. In electronic recordkeeping systems the unique identifier may be automatically generated, while in manual systems it is typically assigned by Records Management staff.
- **Management History**  
All Records Management actions carried out on a record must be recorded. This includes

the record's making, capture into the recordkeeping system, classification or titling, sentencing, disposal class and destruction. The date of each action must also be recorded, as well as the identity of the person or position carrying out the action.

[Territory Records Office Standard for Records Management No.3 - Description and Control](#)

outlines the requirements for record description in more detail.

**f) Controlling records**

Describing records using terms that reflect the functions and activities carried out by the agency, assists in the control of management of records.

Records and the descriptive information about them must be maintained in an appropriate and secure environment so that they cannot be altered or destroyed without proper approval.

**g) Changing records**

If records require amendment for any purpose, information about the purpose and nature of the change and the authorisation for it must be recorded in the use and management histories for those records by the responsible staff member and notification sent to Record Services.

**h) Types of files and containers**

A file is a systematic, administrative accumulation of electronic or paper records kept together because they deal with the same activity, subject, person or transaction, and allocated a unique identifier. In electronic recordkeeping systems a file may be called a container or a folder. The rules outlined above, relating to describing and controlling records, apply equally to files.

***Making and capturing records***

Much of the work of the CFC staff results automatically in the creation of a document. To make the records adequate for the purpose of evidence they must be legible and dated and captured into the record keeping system.

Where an individual performs an action that does not itself generate a record, they should decide whether a record needs to be made (e.g. will they have to account for that action later?).

Verbal decisions, transactions or commitments should be documented by making a record. Minutes or notes of meetings with external organisations need to be made. Notes taken at the time of the meeting should be retained until a formal minute of the meeting is made and accepted as correct. Drafts can then be discarded.

Notes of significant telephone conversations should be made at the time, dated and placed on file.

Creating records in these circumstances has a significant cost benefit in terms of approved decision-making. Electronic messages (email and faxes) are records, too, and should be captured in the record keeping system.

In cases where decisions are made as part of a process with established procedures and criteria, the records should clearly show that established criteria have been consistently applied. Where a decision maker departs from the norm, the reason for doing so should be documented.

In some business processes, such as the development of reference documents and policies, drafts of the same document may be retained to provide evidence of the process. Each draft may be a record valuable for future reference in its own right. In all other cases drafts can be discarded once the final document has been developed. This is a risk-based decision dependent on the importance of the transaction.

Note: **Titles** must be described with a function followed by an activity, followed by a subject and manually assigned free text. Free text refines the title and should reflect the substantive contents of agency files.

Functional classification has been designed to ensure that all business records and information relating to a particular function and activity are held together over time, regardless of changes to organisational structures, programs or project names. This approach is used to mitigate the affect of ongoing administrative change within government agencies. If records are classified by their (relatively stable) functions, it is easier to search for records and their related files rather than needing to know the name of an agency or the business section at the time the records were made.

See also [Territory Records Office Records Advice No. 27 –Subject level control of ACT Government records.](#)

### ***Locating records***

#### **a) Locating records**

Records should be stored in an appropriate and secure environment. CFC's records are located at various workplaces in the Corporation : Canberra Museum and Gallery (CMAG), Canberra Theatre Centre (CTC) and various ACT Historic Places (HP) – Lanyon Homestead, Calthorpes' House, Mugga-Mugga, Shared Services - ACT Record Services (Mitchell), Recall Total Information Management (Fyshwick) and TIMG (Hume). As a general rule, records should not be retained by individuals for longer than they need them for the purposes of current work.

#### **b) Accessing records**

Records are the CFC's property and may contain a significant amount of confidential, financial, personal and private information. Because of this, access to records should be on the basis of the need to use them for authorised work. Browsing records out of curiosity is not permitted.

#### **c) Finding records**

Information is made about records as they are made, captured and received. Recordkeeping systems use this information to find records. It is usually accessible to staff in the form of indexes, registers or other searchable metadata.

The access tools and finding aids available to help ascertain the existence of records or to locate records are :

- Searching the CFC's various workplaces electronic and file record keeping systems;
- Sending a retrieval request to Shared Services, ACT Record Services via [SSACTRecordServices@act.gov.au](mailto:SSACTRecordServices@act.gov.au) ; and
- Sending a search request to Recall Total Information Management, Fyshwick for archived records ([careact@recall.com](mailto:careact@recall.com)). Note: Records located at Recall are not all registered files. Records are kept in supplied Recall boxes.

### ***Storage and movement of records***

#### **a) Storage and security**

Managers and supervisors must specify the level of security and protection to be given to records as well as how access to records will be managed over time. All CFC records, regardless of format, need to be stored in an appropriate and secure environment. It is important that all these points are considered from the time records are made. For example, it might be decided to use archival quality paper rather than recycled paper for valuable paper records.

The level of security applied to records should reflect the value or sensitivity of the information contained on those records.

Security restricted records are those records whose unauthorised disclosure would damage the CFC's security or individual privacy, give unfair commercial advantage or cause harm to an individual or organisation. Special attention should be given to the handling, storage, access and authorisation of such records. As a general rule, security restricted records must be appropriately marked, kept secure, not transmitted by fax and not photocopied.

Storage options need to involve an assessment of the characteristics of storage facilities and associated services and the physical characteristics of the records as well as the operational environment and the information content of the records. Storage must protect the records from inappropriate access as well as damage.

[Territory Records Office Standard for Records Management No. 7 – Physical Storage of Records](#) details the requirements for the storage of records.

#### **b) Movement of records**

Control of the movement of paper records is another aspect of record security. The CFC's records are generally not moved from the workplace and are kept secured if required with the responsible staff member. Staff members are responsible for passing records to colleagues and back to their location/storage area.

The movement of paper records into and out of the CFC is managed through the mail system outsourced to Shared Services, ACT Record Services and there is no requirement for records to be placed in an envelope for movement.

## ***Preservation of records***

### **a) Preservation strategies**

The prime strategies for preserving records are to ensure that all staff treat records carefully, to implement adequate storage standards and record handling practices, and to use archival quality materials for records expected to have a long life. Preservation of electronic records requires strategies to migrate records to new systems in such a way that the records can be maintained as reliable, authentic evidence over time.

Records that have deteriorated over time or suffered damage by use or through disastrous events may require specific conservation treatments by experts. Advice on suitable treatment and on the availability of experts is available from the TRO. In some cases conservation may be undertaken by copying records onto another medium such as film or electronic formats.

Conversions between formats must conform to the requirements of [Territory Records Standard for Records Management No. 9 – Records Digitisation and Conversion](#).

### **b) Disaster prevention and recovery**

The CFC's disaster planning and preparedness includes plans for the protection of records and for the recovery of records that suffer the effects of fire, flood, building damage or other disasters. The CFC's Disaster Recovery Plan is located at [G:\CFC\Staff\Disaster Recovery Plan\CFC DRP April 2015 final.pdf](#).

### **c) Arrangements for preserving records containing information that may allow people to establish links with their Aboriginal or Torres Strait Islander heritage**

Section 16(2)(i) of the [Territory Records Act 2002](#) requires agencies to make arrangements for preserving records containing information that may allow people to establish links with their Aboriginal or Torres Strait Islander heritage. Section 17(1)(d) requires agencies to consult with the Territory Records Advisory Council about such arrangements before the Principal Officer approves the agency's Records Management Program.

The ACT Government's response to the *Bringing Them Home* report included a commitment to assist Indigenous Australians to trace links to their families and communities. This requirement is to aid in the fulfilment of that commitment.

A survey in 2001 of Aboriginal and Torres Strait Islander records in the custody of the ACT Government concluded that :

“... there are few records in the custody of the ACT Government that contain names or other details of any significant number of people identified as Indigenous which would be of use in assisting family reunion”.

It listed some such records and noted that individual records containing name and family information about Indigenous people that could potentially assist in family reunion may be discovered serendipitously from time to time.

For preserving records containing information that may allow people to establish links with their Aboriginal and Torres Strait Islander heritage see [Territory Records Office Records Advice No. 60 – Managing Aboriginal and Torres Strait Islander records](#) and [Records Disposal Schedule](#).

### ***Disposal of records***

#### **a) Appraisal of records**

Territory records cannot be destroyed or otherwise disposed of without first being appraised. [Territory Records Office Standard for Records Management No 2 – Appraisal](#) details the requirements for appraisal of records.

Government records are an important source of information and evidence about the jurisdiction to which they relate. The ACT Government seeks to preserve Territory records for the benefit of all Australians. The appraisal process determines which records meet these criteria and should therefore be preserved and made accessible for research. Appraisal also examines accountability and business requirements in order to determine when records, which do not meet these criteria, have served their accountability and business purposes and can therefore responsibly be destroyed.

Some Territory records will be retained and preserved as archives. These are records that document the :

- significant policies and actions of the Territory;
- interactions of government with the people and their environment;
- social, political, cultural and economic development of the territory as it is influenced by government activity; and
- CFC's exhibitions, performances and collections.

#### **b) Whole of Government Records Disposal Schedules**

The Director of Territory Records has approved a suite of disposal schedules known as the [Whole of Government Records Disposal Schedules](#) for records relating to functions carried out by the Territory. The use of these Records Disposal Schedules will ensure a consistent approach to the disposal of these records across the Territory.

Records Disposal Schedules are a systematic and comprehensive listing of categories of records made and/or kept by an agency, which plans the life of those records from making to ultimate disposal or use as Territory Archives. The [Whole of Government Records Disposal Schedules](#) document whether records should be retained or destroyed once they are no longer required to meet business needs, the requirements of agency accountability and community expectations. Retention periods set down the minimum periods only and the CFC may keep records for longer periods if considered necessary for business requirements.

The CFC nominates the following functions :

- ARTS & CULTURAL DEVELOPMENT
- COMMUNITY RELATIONS
- COMPENSATION
- EQUIPMENT & STORES

- ESTABLISHMENT
- FINANCIAL MANAGEMENT
- FLEET MANAGEMENT
- INDUSTRIAL RELATIONS
- INFORMATION MANAGEMENT
- LEGAL SERVICES
- OCCUPATIONAL HEALTH & SAFETY (OH&S)
- PERSONNEL
- PROPERTY MANAGEMENT
- PUBLICATION
- SECURITY COORDINATION
- SOURCE RECORDS
- STRATEGIC MANAGEMENT
- TECHNOLOGY & TELECOMMUNICATION

NOTE: Functions nominated may vary with the addition of required functions and the amendment of existing functions during the term of this Records Management Program.

The attention of all staff should be drawn to useful information contained in the introduction to each of the functions employed by the agency as it may contain information about a disposal freeze or other practice specific to the Schedule.

See also : [Territory Records Office Records Advice No. 32 – Utilising a Records Disposal Schedule](#)

### **c) Whole of Government Thesaurus of Terms**

The [Whole of Government Thesaurus](#) is a controlled vocabulary of terms designed for the use of classifying, titling and indexing of records on creation.

The [Whole of Government Thesaurus](#) has been developed on the basis of the Territory Version of Keyword AAA (TVKAAA 2010), a thesaurus which incorporated 16 common functions. All other functions within the [Whole of Government Thesaurus](#) are considered functions performed by the ACT Government and have been included following consultation with agencies and after consideration by the TRO via a formal approval process. The terminology used in the *Whole of Government Thesaurus* is directly linked to the terminology used in the [Whole of Government Records Disposal Schedules](#).

The [Whole of Government Thesaurus](#) is mandated by the TRO for use by all ACT Government agencies as part of their classifying and titling of paper and electronic records.

### **d) Elements of the Whole of Government Records Disposal Schedules**

Functional Records Disposal Schedules should contain the following elements, which are mandatory under the standard :

- **Functions** (or keywords) : the function name, scope note and, where appropriate, date range. These should be consistent with the thesaurus used to name the records and to ensure that making and disposal of records are clearly linked;

- **Activities** : the activity name, scope note and where appropriate, date range. These terms, too, should reflect those in the Directorate’s thesaurus. Using the same function and activity terms in the thesaurus and the Records Disposal Schedule makes sentencing easier;
- **Description** : a brief description of the records included in each disposal class; and
- **Disposal Action** : the disposal action to be applied to records in each disposal class. This designates what will ultimately happen to the records – whether they are to be destroyed and if so when that destruction is to take place or if they are to be retained as archives.

#### **e) Normal Administrative Practice**

Normal Administrative Practice (NAP) refers to common practices for destruction of ephemeral, duplicate or transitory material of no evidentiary or continuing value, which normally can be destroyed immediately or as soon as reference ceases. NAP is not intended to replace the use of approved Records Disposal Schedules, which are the authority for destruction of directorate records.

Material that can normally be destroyed using NAP includes :

- working papers consisting of rough notes, calculations, diagrams, etc, used for the preparation of records.
- duplicates and copies of documents where the original is safely retained within the Directorate’s recordkeeping system – ensure this is the case before destroying the copy.
- drafts where the contents have been reproduced in a final document.
- facilitative items such as personal emails, appointment diaries or calendars.
- modifications and updating of data as part of running of established electronic software programs, where such processes do not result in the loss of data of continuing value.
- published materials used as reference only including pamphlets, leaflets and brochures.
- information from other organisations which is not essential to the Directorate’s functions.
- personal paraphernalia such as invitations, tickets, brochures etc.

#### **f) Implementing the Whole of Government Records Disposal Schedules**

Generally, it is most effective to require implementation at the time records are made as a responsibility for all staff who make or capture records. Implementing disposal action for older records will normally be the responsibility of Supervisors/Managers, with the assistance of administrative staff.

Records Disposal Schedules are applied to records by ‘sentencing’. Selecting the entry in the Records Disposal Schedule that applies to that record and allocating the appropriate retention period completes this procedure. By including disposal information at the time of making files, many of the tasks involved with records disposal can be automated.

Where the disposal sentence does not meet the CFC’s needs, the disposal sentence may need to be amended.

### **g) Pre-self-government (1989) records**

CFC was established under the [Cultural Facilities Corporation Act 1997](#) and therefore has no pre self-government records.

### **h) Authorised destruction of records**

All staff must :

- only use currently notified [Whole of Government Records Disposal Schedules](#) to authorise the destruction of records;
- ensure that sentencing staff are appropriately trained;
- ensure that the [Records Disposal Schedule](#) is correctly applied to records; and
- ensure that all sentencing decisions are recorded and retained.

### **i) Secure destruction**

Records approved for destruction must be transported and disposed of securely. This means that the records should not be able to be accessed during transit, they should be immediately taken from the vehicle and destroyed, and the information contained in the records should not be retrievable following destruction.

Pulping is the preferred method of destruction for paper records, although shredding may be suitable for non-sensitive material. Records in other formats such as computer hard drives, film and video should be destroyed by appropriate methods. Further advice can be sought from the TRO.

### ***Public access and use***

The public access provisions of the [Territory Records Act 2002](#) came into effect from 1 July 2008. These provisions give the public a statutory right to access Territory Records that are more than 20 years old.

Access will be given under the Act according to the principles of openness and equity. Records will be presumed to be available for access unless they clearly belong to an exempt category. Access to records will be administered equitably, so that records that are open to all people.

### **a) Assistance to the public**

Under section 27 of the [Territory Records Act 2002](#), agencies are required to assist members of the public to make applications for access to records and must comply with any access request in a 'reasonable time'. The timelines for these requests are :

- less than 30 days for standard requests; and
- no more than 90 days except for the most complex or large requests.

Applicants should be kept informed of the progress of their request.

## **b) Exemptions from access (Section 28)**

Under section 28 of the [Territory Records Act 2002](#), agencies may apply to the Director of Territory Records to have records exempted from public access under a number of provision set out in the Act. These provisions are from the [Freedom of Information Act 1989](#) and relate to records :

- affecting relations with the Commonwealth and States;
- affecting enforcement of law and protection of public safety;
- affecting personal privacy;
- subject to legal professional privilege; or
- disclosure of which would be in contempt of the Legislative Assembly or a court.

Section 28 declarations provide the means by which records containing sensitive information are protected. The agency may apply to the Director of Territory Records for a Section 28 Declaration which reinstates the provisions of the *Freedom of Information Act 1989* preventing public access to sensitive records.

When such a declaration applies this is no entitlement to access the record under the provisions of the [Territory Records Act 2002](#); however, access may be permitted under the [Freedom of Information Act 1989](#).

The decision to exempt records from public access can be appealed through provisions in the [Freedom of Information Act 1989](#).

## **c) Provision for the regular review of records to which a declaration under Section 28 applies**

Because the sensitivity of information decreases with time, records to which a Section 28 declaration applies need to regularly reviewed to ensure that the reasons for seeking the declaration remain current. Any CFC's application for exemption will be reviewed annually by 30 June each year by liaising with the Director of Territory Records about the declaration.

## **d) Access register**

Agencies are required to maintain a register of records to which a declaration under Section 28 is in force. The register must include :

- sufficient detail to identify the records which have been exempted;
- a copy of or reference to the Director of Territory Records' declaration; and
- the date of the decision.

CFC'S Register of Section 28 declarations is available at [G:\CFC\Staff\Records Management Program\2015 05 14 CFC - TRO Section 28 Register.xlsx](#)

## **e) Access conditions**

Agencies may give access subject to conditions that ensure the safe custody and proper preservation of the record.

Such conditions may include requiring researchers to provide proof of identity and a requirement that researchers sign an undertaking to preserve the records and not take any action that will alter, harm, destroy or remove from Territory custody any record or any part of the record.

Any conditions should be clear, advised to all those who request access and applied uniformly and fairly.

#### **f) Access facilities and services**

The CFC must be able to provide researchers with a reasonable opportunity to inspect original records, and may therefore need to provide public access facilities. This is made available to all agencies via the ArchivesACT reading room located at the Woden Public Library. These facilities are secure and researchers are supervised when viewing original records to ensure that there is no possibility of theft or tampering. It is a requirement that these facilities must be accessible for people with disabilities.

Where access requires the use of some form of technology, this is to be provided as necessary for use within ArchivesACT.

The CFC must ensure that records are not removed, altered, marked or amended in any way. To ensure preservation of fragile records users may be asked to wear gloves or take other conservation measures when handling records.

The CFC must comply with the ACT Public Service Customer Service Standard and Code of Practice when providing access to records.

#### **g) Copying records for researchers**

Depending on the circumstances, researchers may be able to have photocopies of print documents, printouts or disks, or networked access to electronic records, audio or videotapes or other suitable copies. Fees for this service have yet been determined under section 55 of the [Territory Records Act 2002](#).

#### **h) Copyright**

The provision of copies of records to researchers does not constitute any copyright permission or signing over of any rights in records. This should be made clear to researchers who are provided with copies. Written permission is required from the copyright holder to publish any information from Territory records or any research arising out of access to agency records. It is the responsibility of the person wishing to publish to find and obtain permission from all copyright holders.

The Territory will generally own copyright in records made by agencies. The maker of the item will normally own copyright in records held but not made by agencies (e.g. letters written by members of the public to agencies).

## **i) Cabinet records**

Some records are already available for public access under other legislative arrangements. Cabinet records are released for public access after 10 years.

### **3.5 Other compliance information**

#### ***Notification of outsourcing***

ACT Government's procurement guidelines are in the [Government Procurement Act 2001](#). This process of notifying the TRO is a separate legislative requirement.

The CFC's procedures for outsourcing include the requirement for CFC's Records Managers to inform the Director of Territory Records about any arrangements for outsourcing or internal outsourcing all or any part of its records management.

The CFC's current outsourcing arrangements are provided by:

- **Shared Services, ACT Record Services** - the internal ACT Government outsourced arrangement, for the creation, management and storage (active files only) of CFC records.  
Repository Address : Building 6, 9 Sandford Street, MITCHELL ACT 2911  
Postal Address : GPO Box 158, CANBERRA ACT 2601
- **Recall Total Information Management** - the outsourced arrangement for the storage of corporate records.  
Repository Address : 23 Mildura Street, FYSHWICK ACT 2609
- **TIMG** – the outsourced arrangement for the storage of CTC non-show related records.  
Repository Address : Sleigh Place, Hume ACT 2620

#### ***Examination by Director of Territory Records***

The CFC is committed to providing assistance to the Director of Territory Records to examine the operation of the CFC's Records Management Program and compliance with the Program. The CFC's Records Managers will liaise with the Director of Territory Records to assist with any examination.

#### ***Dispute resolution***

Should there be a dispute about whether the CFC is compliant with the Act or the Records Management Program, the CFC's Records Managers will examine the program. This examination will include the following procedures :

- **Step A** Liaise with the Director of Territory Records to determine the nature of the dispute;
- **Step B** Examine the relevant section of the [Territory Records Act 2002](#) that relates to the dispute and examine the Records Management Standards and Guidelines;
- **Step C** Examine the Records Management Program's Policy and Procedures that relate to the nature of the dispute;
- **Step D** Should the examination show that there are inconsistencies between the Records Management Program and the Act/ Standards and Guidelines, the Act and the Standards prevail and the Directorate's Records Management Program will be amended accordingly;

- **Step E** If staff have not adhered to the policy or procedures, or there has been an error in the management of the Program, staff are to be counselled in relation to their responsibilities under the program; and
- **Step G** The Director of Territory Records is to be notified of the action taken to resolve the dispute, and the outcome.

### ***Compliance Reporting***

The CFC will report to the TRO on its record management activities. The nominated Records Managers will be responsible for this reporting to ensure that :

- the CFC reports to the Director of Territory Records and the Territory Records Advisory Council as required. Reports to the Records Advisory Council may be on such matters as the disposal of records and the preservation of any records that the Directorate may hold about Aboriginal and Torres Strait Islander heritage;
- the Records management performance indicators are incorporated into other areas of the CFC's business reporting framework;
- recordkeeping is a key result in all corporate plans; and
- recordkeeping performance is included in the CFC's Annual Report.

### ***Records Management Program explanatory documentation***

Additional explanatory documentation in relation to the overall records management functions of the CFC (e.g. consultants reports) that provide strategic direction, decisions, or context can be attached to the Program.

## **3.6 Program evaluation and review**

### ***Performance measurement and evaluation***

The CFC's CFO has responsibility for arranging periodic audits of all aspects of the procedures to ensure compliance with the rules and practices outlined in them.

### ***Provision for review of Program***

The CFC's CFO has responsibility to review and replace or amend the Records Management Program on a rolling basis, so that the entire Program is fully reviewed at least every five years.

#### **SECTION 4 RECORDS MANAGEMENT PROGRAM : BUSINESS SYSTEMS**

A Records Management Program must incorporate reference to those business systems that provide recordkeeping functionality to the CFC, including legacy systems maintained that still contain records (e.g. PERSPECT). Reference to each business system, whether still in current use or now closed, must be referred to in the Program.

To aid in the identification and recordkeeping functionality of each business system utilised by the CFC, a copy of the Business System Descriptive Elements form, which describes each business system against the criteria outlined in [\*Territory Records Standard – Number 3 : Description and Control\*](#), needs to be attached to the Program.

A copy of this form is attached and is to be completed for each system currently containing CFC records.

**4.1 Business System Descriptive Elements**

A copy of this form is required to be completed for each identified business system that captures records of the agency.

Business System Name : ACCPAC (Accounts Package) - Accounting software Vendor : ACC SYS Consulting (Financial Management Information System) Version Number / Iteration : 5.6A Date Commenced : 2000 Date Closed (if applicable) :	
The Business System includes the following recordkeeping descriptive elements as outlined in <i>Territory Records Standard – Number 3 : Records Description and Control</i> :	
Element	Details
Title – provides for a meaningful record title	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Details if No
Date – captures dates of when records are created and closed	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Details if No
Identifier – assigns a unique, non-repeatable control symbol to each included record	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Details if No.
Creator – captures details of the record creator	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Details if No
Management history – creates user, maintenance, movement etc audits	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Details if No
Access and security provisions – captured records are secure from unauthorised access, alteration, destruction etc.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Details if No

Business System Name : Contact C2009.127 - Canberra Theatre Centre ticketing system Vendor : ENTA Ticketing Solutions Version Number / Iteration : Version 19 Date Commenced : 23 September 2010 Date Closed (if applicable) :	
The Business System includes the following recordkeeping descriptive elements as outlined in <i>Territory Records Standard – Number 3 : Records Description and Control</i> :	
Element	Details
Title – provides for a meaningful record title	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Details if No Canberra Theatre Centre Ticketing
Date – captures dates of when records are created and closed	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Details if No
Identifier – assigns a unique, non-repeatable control symbol to each included record	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Details if No. Assigns a unique patron number
Creator – captures details of the record creator	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Details if No
Management history – creates user, maintenance, movement etc audits	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Details if No
Access and security provisions – captured records are secure from unauthorised access, alteration, destruction etc.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Details if No

Business System Name : UNGERBOECK – Canberra Theatre Centre Event management software Vendor : USI UNGERBOECK software international Version Number / Iteration : Version 19 and 20 Date Commenced : 2011 Date Closed (if applicable) :	
The Business System includes the following recordkeeping descriptive elements as outlined in <i>Territory Records Standard – Number 3 : Records Description and Control</i> :	
Element	Details
Title – provides for a meaningful record title	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Details if No
Date – captures dates of when records are created and closed	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Details if No
Identifier – assigns a unique, non-repeatable control symbol to each included record	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Details if No.
Creator – captures details of the record creator	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Details if No
Management history – creates user, maintenance, movement etc audits	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Details if No
Access and security provisions – captured records are secure from unauthorised access, alteration, destruction etc.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Details if No

Business System Name : VERNON – Management of collections for ACT Museums and Galleries Vendor : VERNON Systems Version Number / Iteration : 5.0.6 (CMAG) Date Commenced : 2008 Date Closed (if applicable) :	
The Business System includes the following recordkeeping descriptive elements as outlined in <i>Territory Records Standard – Number 3 : Records Description and Control</i> :	
Element	Details
Title – provides for a meaningful record title	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Details if No VERNON CMS
Date – captures dates of when records are created and closed	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Details if No
Identifier – assigns a unique, non-repeatable control symbol to each included record	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Details if No.
Creator – captures details of the record creator	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No Details if No Both CMAG and ACT Historic Places use generic logins for VERNON
Management history – creates user, maintenance, movement etc audits	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Details if No
Access and security provisions – captured records are secure from unauthorised access, alteration, destruction etc.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Details if No System is only accessible to users on the ACT Government network who have been given access to the software via Shared Services ICT.

Business System Name : VERNON - Management of collections for ACT Museums and Galleries Vendor : VERNON Systems Version Number / Iteration : 6.3 <b>(ACT Historic Places)</b> Date Commenced : 2008 Date Closed (if applicable) :	
The Business System includes the following recordkeeping descriptive elements as outlined in <i>Territory Records Standard – Number 3 : Records Description and Control</i> :	
Element	Details
Title – provides for a meaningful record title	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Details if No VERNON CMS
Date – captures dates of when records are created and closed	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Details if No
Identifier – assigns a unique, non-repeatable control symbol to each included record	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Details if No.
Creator – captures details of the record creator	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No Details if No Both CMAG and ACT Historic Places use generic logins for VERNON
Management history – creates user, maintenance, movement etc audits	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Details if No
Access and security provisions – captured records are secure from unauthorised access, alteration, destruction etc.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Details if No System is only accessible to users on the ACT Government network who have been given access to the software via Shared Services ICT.

Business System Name : MicrOpay - Payroll and human capital management software Vendor : SAGE MicrOpay Version Number / Iteration : 6.3.60 Date Commenced : 2009 Date Closed (if applicable) :	
The Business System includes the following recordkeeping descriptive elements as outlined in <i>Territory Records Standard – Number 3 : Records Description and Control</i> :	
Element	Details
Title – provides for a meaningful record title	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Details if No MicrOpay Meridian
Date – captures dates of when records are created and closed	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Details if No
Identifier – assigns a unique, non-repeatable control symbol to each included record	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Details if No.
Creator – captures details of the record creator	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Details if No
Management history – creates user, maintenance, movement etc audits	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Details if No
Access and security provisions – captured records are secure from unauthorised access, alteration, destruction etc.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Details if No

Business System Name : D-Bit – Payroll software Vendor : D-Bit Australia Version Number / Iteration : 4 Date Commenced : 2004 Date Closed (if applicable) : 2009	
The Business System includes the following recordkeeping descriptive elements as outlined in <i>Territory Records Standard – Number 3 : Records Description and Control</i> :	
Element	Details
Title – provides for a meaningful record title	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Details if No
Date – captures dates of when records are created and closed	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Details if No
Identifier – assigns a unique, non-repeatable control symbol to each included record	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Details if No.
Creator – captures details of the record creator	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Details if No
Management history – creates user, maintenance, movement etc audits	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Details if No
Access and security provisions – captured records are secure from unauthorised access, alteration, destruction etc.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Details if No

Business System Name : Powerpay – Payroll software Vendor : MYOB Version Number / Iteration : 5 Date Commenced : 1994 Date Closed (if applicable) : 2004	
The Business System includes the following recordkeeping descriptive elements as outlined in <i>Territory Records Standard – Number 3 : Records Description and Control</i> :	
Element	Details
Title – provides for a meaningful record title	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Details if No
Date – captures dates of when records are created and closed	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Details if No
Identifier – assigns a unique, non-repeatable control symbol to each included record	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Details if No.
Creator – captures details of the record creator	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No Details if No
Management history – creates user, maintenance, movement etc audits	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No Details if No
Access and security provisions – captured records are secure from unauthorised access, alteration, destruction etc.	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No Details if No