Community Services Directorate
Records Management Program

JULY 2018
ACT GOVERNMENT
GPO BOX 158 Canberra City
COMMUNITY SERVICES DIRECTORATE – RECORDS MANAGEMENT PROGRAM

Authorisation

In accordance with the Territory Records Act 2002, and as Principal Officer, of Community Services Directorate, I:

- authorise this Records Management Program;
- certify that this Records Management Program addresses all elements contained within section 16 of the Territory Records Act 2002; and
- certify that this Records Management Program meets all the requirements set out in the Standard for Records, Information and Data released by the Director of Territory Records.

This Records Management Program provides a framework to ensure records, information and data management requirements are met.

The records, information and data management framework includes:

- Territory Records Act 2002;
- Standard for Records, Information and Data released by the Director of Territory Records;
- other applicable legislation and standards;
- other applicable policies;
- other administrative directions of the ACT Government and broader ACT public service;
- Records Management Program (this document);
- records, information and data management:
  - policy;
  - procedures; and
  - architecture register for business systems; and
- The Directorate’s Information Management Policy.

This Records Management Program and associated policies and information applies to the Directorate as well as outsourced providers tasked with providing services for the organisation.
The Records, Information and Data Management Policy is located at: 

The Records, Information and Data Management Procedures are located at: 

The Records, Information and Data Architecture Register is located at: 

I authorise the appropriate resourcing of this Records Management Program, which includes the:

- promulgation of this Records Management Program and the associated framework to all staff, volunteers, consultants, contractors and outsourced providers;
- appropriate management of records, information and data;
- annual assessment of records, information and data management capabilities; and
- planning for, and continual improvement of, records, information and data management capabilities.

Bernadette Mitcherson  
Director-General (Principal Officer)  
Date: 30/7/1

20 July 2018
Records Management Program

Introduction

The Territory Records Act 2002 obliges the Principal Officer to ensure the Directorate and its staff comply with the Territory Records Act 2002, including through the development, approval and implementation of this Records Management Program.

Compliance with the Territory Records Act 2002

This Records Management Program addresses all elements set out in section 16 of the Territory Records Act 2002 and meets the requirements set out in the Standard for Records, Information and Data released by the Director of Territory Records.

Responsible senior manager

The Chief Information Officer is the Executive in charge of records, information and data management, including the implementation and regular review of this Records Management Program. A key responsibility includes ensuring all staff, volunteers, consultants, contractors and outsourced providers comply with the policy and procedures for records, information and data management.

Relationship with the Director of Territory Records

The Director of Territory Records oversees the administration of the Territory Records Act 2002, provides an advisory and compliance-monitoring service, may provide reports to the relevant Minister on records, information and data management capabilities, and issues notifiable instruments (standards) that relate to the management of records, information and data.

Therefore, arrangements are in place to liaise with the Director of Territory Records for:

- examining the operations of the Records Management Program and compliance with the Territory Records Act 2002;
- advising on the outsourcing of any aspect of records, information and data management responsibilities;
- requesting assistance, advice and training in relation to records, information and data management;
- reporting on compliance with the Territory Records Act 2002, the Records Management Program, and records, information and data management capabilities; and
- resolving disputes regarding compliance with the Territory Records Act 2002 and the Records Management Program.

Capability assessment and maturity development (Capability Principle)

The Principal Officer, in association with the Chief Information Officer will report annually to the Director of Territory Records on its records, information and data management capabilities using the Compliance Checklist Tool provided by the Territory Records Office or as required by the Annual Report Directions.
Annual plans are developed and implemented to build capability-maturity that can include improvement planning, communication and training.

**Creating and managing full and accurate records (Access Principle)**

The Directorate works with the Territory Records Office to develop Records Disposal Schedules that identify the records the Directorate must create to make and keep full and accurate records of its activities. The Directorate is committed to processes for identifying its records and their significance that are accountable, consistent, objective, comprehensive, contextualised and documented.

Requirements to create records of the Directorate’s activities are contained in standing operating procedures for its business activities, in business systems manuals and in the following specific procedures:

- Advice to staff on ‘What is a Record?’, including treatment of personal versus official records; and
- Recordkeeping procedures.

The business systems in use in Community Services Directorate that create records are identified in the Records, Information and Data Architecture Register.

**Metadata management (Describe Principle)**

The Directorate complies with recordkeeping metadata standards endorsed by the Territory Records Office. The Directorate uses the Whole of Government Recordkeeping Thesaurus to classify its records, information and data according to the business functions and activities they represent. Requirements to capture metadata for the Directorate’s records are contained in standing operating procedures for its business activities, in business systems manuals and in the following specific procedures:

- Instructions for staff on file titling conventions and version control;
- Data Entry Standards; and
- Recordkeeping – responsibilities of Directorate officers.

Metadata requirements for business systems that contain records have been identified in systems management plans and manuals, data dictionaries and other systems documentation. This includes arrangements for the ongoing preservation and management of recordkeeping metadata.

**Protecting records, information and data (Protect Principle)**

Arrangements are in place to protect records, information and data. This includes ensuring the continued access to records, information and data for as long as they are required to be kept in accordance with the Territory Records Act 2002 (as defined by records disposal authorities). This includes the identification of endorsed locations for records storage, both in hard copy and digital form.

Arrangements are in place to protect records, information and data in the custody of volunteers, consultants, contractors and outsourced providers to ensure the assets are returned or managed in accordance with the Territory Records Act 2002.

Instructions to staff and others on how to protect the Directorate’s records, information and data are contained in the following documents:
- Security instructions, storage and handling instructions, digitisation and migration plans, business continuity and risk management plans.

Records disposal arrangements (Retain Principle)

The following Records Disposal Schedules are authorised for use in the agency:

<table>
<thead>
<tr>
<th>Schedule name</th>
<th>Date Effective</th>
<th>Instrument No</th>
</tr>
</thead>
<tbody>
<tr>
<td>Finance and Treasury Management Records</td>
<td>27 February 2017</td>
<td>NI2017-83</td>
</tr>
<tr>
<td>Government and Stakeholder Relations Records</td>
<td>27 February 2017</td>
<td>NI2017-84</td>
</tr>
<tr>
<td>Human Resources Records</td>
<td>27 February 2017</td>
<td>NI2017-79</td>
</tr>
<tr>
<td>Information and Communications Technology Records</td>
<td>27 February 2017</td>
<td>NI2017-85</td>
</tr>
<tr>
<td>Property Equipment and Fleet Records</td>
<td>27 February 2017</td>
<td>NI2017-86</td>
</tr>
<tr>
<td>Records and Information Management Records</td>
<td>27 February 2017</td>
<td>NI2017-87</td>
</tr>
<tr>
<td>Solicitor and Legal Services Records</td>
<td>27 February 2017</td>
<td>NI2017-88</td>
</tr>
<tr>
<td>Source Records</td>
<td>25 March 2011</td>
<td>NI2011-170</td>
</tr>
<tr>
<td>Strategy and Governance Records</td>
<td>27 February 2017</td>
<td>NI2017-89</td>
</tr>
<tr>
<td>Preserving records containing information that may allow people to establish links with their Aboriginal and Torres Strait Islander heritage</td>
<td>25 March 2011</td>
<td>NI2011-162</td>
</tr>
<tr>
<td>Protection of records relevant to the Royal Commission into Institutional Responses to Child Sexual Abuse</td>
<td>1 February 2013</td>
<td>NI2013-42</td>
</tr>
<tr>
<td>Child and Youth Protection Services Records</td>
<td>13 October 2016</td>
<td>NI2016-567</td>
</tr>
<tr>
<td>Community Development Records</td>
<td>13 July 2006</td>
<td>NI2006-257</td>
</tr>
<tr>
<td>Disability Services Records</td>
<td>10 March 2016</td>
<td>NI2016-121</td>
</tr>
<tr>
<td>Disaster Recovery (Human Services) Records</td>
<td>5 May 2005</td>
<td>NI2005-157</td>
</tr>
<tr>
<td>Family Services Records</td>
<td>24 July 2017</td>
<td>NI2017-391</td>
</tr>
<tr>
<td>Public and Community Accommodation Records</td>
<td>24 July 2017</td>
<td>NI2017-392</td>
</tr>
<tr>
<td>Records Created Prior to 1931</td>
<td>24 July 2017</td>
<td>NI2017-395</td>
</tr>
</tbody>
</table>

Records many only be destroyed in accordance with one of these schedules or the Directorate's accepted normal administrative practice. Normal administrative practice for the Directorate is defined in Recordkeeping Guidelines for CSD Managers and Staff. Additional arrangements are in place to protect records, information and data that may allow people to establish links with their
Aboriginal or Torres Strait Islander heritage, and for records, information and data that are to be retained in perpetuity for cultural and historical purposes.

The organisation’s arrangements for the authorisation of the disposal of records, information and data, and for their proper destruction, are contained in the following documents:

- Internal disposal notification procedures and forms, sentencing training manuals and instructions.

Public access to records, information and data, and access exemptions (Access Principle)

Arrangements are in place with Archives ACT to provide public access to records, information and data under the authority of the Territory Records Act 2002. These arrangements also allow for the exemption of certain information, data and record assets, and the regular review of the exemption (as defined by section 28 of the Territory Records Act 2002). The organisation’s arrangements for providing public access to records, information and data are contained in the following documents:

- The organisation’s section 28 register, access examination manuals.

Implementation, compliance and reporting

Arrangements are in place to implement this Records Management Program.

To monitor compliance with the Records Management Program, performance measures for records, information and data management activities have been established and include:

- information, data and records are created or captured in a full and accurate way and in endorsed locations;
- information, data and records are appropriately managed for as long as required;
- metadata requirements are implemented; and
- capability improvement measures are planned and implemented.

Quarterly/monthly/weekly reports on records, information and data management activities are provided to the Chief Information Officer by the records manager and/or records management unit.

Availability for public inspection

Arrangements are in place to ensure this Records Management Program is available for inspection by the public free of charge.

A modified version of this Records Management Program may be more appropriate for public inspection where elements refer to the:

- existence of documents affecting relations with the Commonwealth and the states, or affecting the enforcement of the law; and
- protection of public safety.
Review of this Records Management Program

A review of this Records Management Program will be undertaken at least every five years or as required. Reviews may result in the replacement or amendment of this Records Management Program.

Attachments to this Records Management Program

The following are attachments to the Directorate’s Records Management Program:

Attachment A – Records, Data and Information Policy
Attachment B - Records, Data and Information Procedures
Attachment C - Records, Information Data Architecture Register
Attachment D – Outsourced Providers