

CULTURAL FACILITIES CORPORATION
Records Management Program
Records, Information and Data Management Policy

Authorised by : Gordon Ramsay
Chief Executive Officer
Cultural Facilities Corporation

Date : 15 August 2022

Date for review : 15 August 2027

Version : Version 2.0



DOCUMENT PROPERTIES

Schedule of Amendments

New features (insertions)	
	Date
Enhancements (changes)	
New format	Date: August 2022
Deletions	
	Date

Amendment History

Version No.	Issue Date	Author
Version 1.0	30 September 2015	Ian Tidy
Version 2.0	15 August 2022	Senior Corporate and Compliance Officer

Details

Area responsible for Program	CFC – Corporate cfccorporatefinance@act.gov.au
Stakeholders	All Cultural Facilities Corporation Staff
Document location	G:\CFC\Staff\Records Management Program
Record number and name	CFC2016/49 – Information Management – Compliance – Records Management Program - Records Management Program comprising of policy and procedures
Freedom of Information Act 2016 compliant	Document linked to the ACT Open Access Information website? No ☐ (the document is not appropriate for public viewing) Yes ☒ (the document is appropriate for public viewing)

© Australian Capital Territory 2021



This work, Cultural Facilities Corporation Records Management Program, is licensed under a [Creative Commons Attribution 4.0 licence](https://creativecommons.org/licenses/by/4.0/). You are free to re-use the work under that licence, on the condition that you credit the Australian Capital Territory Government as author, indicate if changes were made and comply with the other licence terms. The licence does not apply to the ACT Government logo or Cultural Facilities Corporation logo.

Contents

1.	Purpose	4
2.	Scope.....	4
3.	Policy Statement	4
4.	Definition of records, information and data management	4
5.	Roles and responsibilities for records, information and data management	5
6.	Records, information and data management principles	6
7.	Legislation and Standards	7
8.	Endorsed locations.....	8
9.	Ownership.....	9
10.	Procedures for records, information and data management.....	9
11.	Feedback about this policy	9
12.	Review of this policy	9

1. Purpose

This policy, authorised by the Chief Executive Officer (CEO) as Principal Officer, Cultural Facilities Corporation (CFC) in association with the Chief of Staff (COS), forms part of the records, information, and data management framework for the creation, capture and management of records, information, and data of the CFC.

This policy, along with supporting procedures, business tools and systems, training and communication strategies are essential elements of the records, information and data management framework.

2. Scope

This policy applies to all full-time and part-time staff, volunteers, consultants, contractors and outsourced providers.

This policy applies to all aspects of CFC's organisational business including records, information and data created during business transactions, and business applications used to create or store records, information and data including emails, cloud-based solutions, business systems, databases and websites.

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

3. Policy Statement

Records, information and data are vital corporate assets, and their management is the responsibility of all, who work for the CFC.

This policy provides the basis for how the CFC adhere to legislative and better practice requirements for records, information and data, including what is outlined in :

- the [Territory Records Act 2002](#);
- the CFC's Records Management Program;
- the Territory Records Office (TRO) Standard for Records, Information and Data;
- the TRO's principles and associated guidelines to implement the Standard for Records, Information and Data; and
- international standards.

The CFC must make, keep and manage full and accurate records, information and data in a timely manner to support business needs, government accountability, legal and regulatory obligations, community expectations and historical purposes.

The CFC is committed to the proper management of the records, information and data as mandated by the [Territory Records Act 2002](#) and will ensure records, information and data are retained for as long as required in a readily accessible form.

This policy will be referenced in CFC policies and procedures wherever possible to ensure its application is widespread and consistent.

4. Definition of records, information and data management

Records are information created and kept, or received and kept, as evidence and information by a person in accordance with a legal obligation or in the course of conducting business. Records, information and data management covers, but is not limited to, the creation, keeping, protection, preservation, storage and disposal of, and access to records of the organisation.

Information, data and records management processes may be applied by full-time and part-time staff, volunteers, consultants, contractors and outsourced providers as part of their duties.

5. Roles and responsibilities for records, information and data management

Every employee

All staff are responsible for the creation and management of records, information and data about the work they perform on behalf of the CFC.

Principal Officer

The CEO as Principal Officer is ultimately responsible for the management of records, information and data, has authorised this policy, promotes compliance with this policy, delegates responsibility for records, information and data management to the COS and ensures the CFC Records Management Program is adequately resourced.

COS

The COS is responsible for the active support of, and adherence to this policy by promoting a culture of compliant records, information and data management, and overseeing the development and currency of strategic documents such as the CFC Records Management Program including the CFC Records, Information and Data Management Standard Operating Procedure (SOP).

Records management staff

Records management staff are responsible for implementing and monitoring legislative and better-practice requirements for records, information and data, including the CFC Records Management Program, this policy and organisational capabilities. An important aspect includes the identification of records, information and data management requirements, and the development, implementation and support of records, information and data procedures.

System Administrators

System administrators, including Shared Services ICT staff, are responsible for maintaining the technology for business systems, including appropriate system accessibility, security, associated metadata and back-ups. System administrators should ensure that any actions, such as removing data from systems or folders, are undertaken in accordance with this policy, particularly in terms of the Retain principle (as outlined below).

Security advisor

The COS provides advice on security policy and guidelines associated with the management of records, information and data.

Managers and supervisors

All managers and supervisors are responsible for ensuring their full-time and part-time staff, volunteers, consultants, contractors and outsourced providers are aware of and follow their responsibilities for records, information and data management. This includes addressing records, information and data management during performance review discussions and when establishing job descriptions. They should also advise the COS of any changes in the business environment that may affect the creation and management of records, information and data such as the procurement of business systems.

Volunteers, contractors, consultants and service providers

Volunteers, contract staff, consultants and service providers must create and manage records in accordance with this policy and supporting procedures.

Human Resource Advisor

The CFC's induction and general training programs include basic records, information and data management principles as described below. Selection criteria should be reviewed regularly for all record positions to ensure they are kept up-to-date with current concepts and principles.

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 Records Management Program. Webmasters are responsible for monitoring compliance. The document owners are responsible for version control on internet/social media platforms.

6. Records, information and data management principles

The CFC's records, information and data will be managed according to the principles outlined in the Standard for Records, Information and Data released by the Director of Territory Records as per below:

- **Strategy Principle:** The Strategy Principle means organisations must establish documented plans to help achieve a robust state of records, information and data management. These plans include a Records Management Program, which incorporates a Records, Information and Data Management Policy. The CFC Records Management Program will provide a framework for ensuring records, information and data management requirements are met.
- **Capability Principle:** The Capability Principle means ACT Government organisations should adhere to the capability assessment and improvement requirements endorsed by the TRO. Capability refers to an organisation's or an individual's capacity or ability to fulfil certain requirements as outlined in the Standard. It encompasses resources, skills and tools for managing records, information and data.
- **Assess Principle:** The Assess Principle means ACT Government organisations must use processes endorsed by the TRO to assess and understand their records, information and data management requirements. The assessment involves the analysis of business activities to determine which records, information and data must be created and kept to meet the organisation's business needs, accountability requirements and community expectations. The assessment process will, most importantly, also identify those records that have enduring value to the Territory – referred to as Retain as Territory Archives (RTA). It will also result in a business classification scheme, thesaurus and records disposal schedules which will enable authorisation of the destruction of ACT Government records.
- **Describe Principle:** The Describe Principle means ACT Government organisations must adhere to metadata schemas endorsed by the TRO for records, information and data management. Metadata refers to the naming, identification, searching, classification and categorisation of records, information and data by using defined attributes or fields to ensure consistency across the ACT Government and its business systems. Metadata attributes and fields are required to digitally manage records information and data, and the systems which they are contained in.
- **Protect Principle:** The Protect Principle means ACT Government organisations must secure, store and preserve records, information and data to protect the interests of the organisation and the rights of employees, clients, stakeholders and citizens, now and into the future. ACT Government organisations must take steps to protect their records, information and data from misuse, interference, loss, unauthorised access, modification and disclosure.
- **Retain Principle:** The Retain Principle means ACT Government organisations must retain records, information and data in readily accessible formats by adhering to the retention requirements outlined in records disposal schedules. Importantly, decisions about the retention of records,

information and data are guided by the development and implementation of records disposal schedules that provide details on how long records, information and data need to be kept, and if and when they can be nominated for destruction.

- **Access Principle:** The Access Principle means ACT Government organisations must support principles of open government and begin from a position of openness in relation to access to ACT Government records information and data. They must manage their records, information and data in a way that supports openness, ensuring they remain accessible for as long as they are required to meet accountability, legislative and business requirements and community expectations.

For more information refer to [Standard for Records, Information and Data](https://www.territoryrecords.act.gov.au/standards) (<https://www.territoryrecords.act.gov.au/standards>) and the associated guidelines in applying these principles.

Records Advices are also available at <https://www.territoryrecords.act.gov.au/recordadvice> providing advice on a range of records management topics in association with the above.

7. Legislation and Standards

Legislation

CFC business units are responsible for understanding and complying with the relevant standards and legislation governing its own recordkeeping requirements.

- *Territory Records Act 2002* (which details the requirements for recordkeeping for Territory agencies).
- *Freedom of Information Act 2016* (which allows public access to Territory records).
- *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).
- *Evidence Act 2011* and actions and which details requirements relating to the authenticity of electronic records).
- *Financial Management Act 1996* (that proper accounts and records are kept of the transactions and affairs in accordance with accounting standards).
- *Work Health and Safety Act 2011* (which details the requirements for recordkeeping in relations to WHS representatives, activities and incidents).
- *Information Privacy Act 2014* (which protects members of the public from the misuse of information about themselves and which gives people a right to see records about themselves).

Acts for which the CFC has responsibility:

- *Cultural Facilities Corporation Act 1997*

International and Australian Standards

Standards help guide the CFC in performing its functions. The CFC operates in line with numerous standards, regulations, schemes, notifications, directions, delegations, and memorandums that relate to all areas of responsibility.

Records management standards:

- ASO ISO: 15489 – Standard on Records Management
- SA/SNZ TR ISO: 26122 - Work Process Analysis for Recordkeeping
- AS: 5044 - AGLS Metadata Standard
- AS/NZS 5478: 2015 – Recordkeeping Metadata Property Reference Set
- ISO: 16175 - Principles and Functional Requirements for Records in Electronic Office Environments

Associated policies

A range of policies relevant to the management of records, information and data must be applied alongside this policy, including, but not limited to:

- ACT Public Service's Code of Conduct
- ACT Government's Open Government Policy
- ACT Public Service Digital Records Policy
- ACT Government Social Media Policy
- ACT Government Protective Security Policy Framework

Administrative directions of government

A range of government-wide administrative directions associated with the management of records, information and data must be applied alongside this policy, including, but not limited to:

- ACT Government Cabinet Handbook
- Freedom of Information Open Access Information Guideline
Open Access Information Scheme
- Disaster and Business Continuity Recovery Plans
- Fraud and Corruption Prevention Plan
- Internal Audit Program
- Protective Security Guidelines

8. Endorsed locations

Only endorsed locations can be used to store records, information and data to ensure their appropriate management.

Endorsed locations in the CFC include :

Physical

- Shared Services, Record Services, Building 7, 9 Sandford Street, Mitchell ACT;
- approved secondary records management storage providers including Iron Mountain (Repository Address : 23 Mildura Street, FYSHWICK ACT 2609) the outsourced arrangement for the storage of Corporate records, TIMG (Repository Address : Sleight Place, Hume ACT 2620) the outsourced arrangement for the storage of CTC non-show related records; and
- workplaces that accommodate CFC staff.

Digital

- HPECM/WIRE (TRIM is the back-end functionality) configured as a Whole of Government Electronic Document Records Management System (EDRMS).
- Approved business systems.

The following are **NOT** endorsed locations:

Physical

- unoccupied outbuildings;
- any location that is not under the direct control of the CFC such as a personal residence; and
- any other location that could reasonably be seen as representing a risk to physical records.

Digital

- Outlook, email accounts;
- Shared drives (such as the G drive);
- Staff drives (such as the H drive);

- SharePoint
- Portable devices (such as flash drives);
- Personal ICT devices; and
- Unapproved business systems.

Records, information and data captured in a non-endorsed location should be moved to an endorsed location as early as possible to promote accessibility and ensure appropriate record management principles are applied.

9. Ownership

All records, information and data generated by full-time and part-time staff, volunteers, consultants, contractors and outsourced providers as part of their duties are Territory records and belong to the ACT Government and not to individuals or companies.

10. Procedures for records, information and data management

This policy is supported by the CFC Records, Information and Data Management SOP and forms part of the broader records, information and data management framework.

The procedures detail the way full-time and part-time, volunteers, contractors and consultants in the organisation will create, capture, manage, care for, keep and access records, information and data.

Adherence to the requirements of the procedures is obligatory for all full-time and part-time, volunteers, consultants and contractors to ensure legislative requirements are met.

11. Feedback about this policy

Where there are questions or concerns regarding this Policy, its application or how it relates to other policies or directives, contact:

Brooke Thomas
Chief of Staff
Cultural Facilities Corporation
brooke.thomas@act.gov.au

OR email CFCcorporatefinance@act.gov.au

12. Review of this policy

A review of this policy will be undertaken at least every five years, or as required.