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ACT
Government

Transport Canberra
and City Services

Records Management Policy

April 2017

Version 1.0

Document Information

Review and Approval

Date approved: 11 April 2017
Date effective: same day as approval
Approved by: Director-General
Review period: 2 years from date of effect or following a significant change in the services delivered by the Transport Canberra and City Services Directorate

Document Details

Content owner: Director Governance & Business Solutions
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Version Control

Version	Issue Date	Author	Details
0.1	March 2017	Records Manager	Draft For Approval
0.2	March 2017	Governance Officer	Reviewed for approval
1.0	11 April 2017	A/g Director-General	Approved document

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I.0 Records Management Policy Statement

The *Territory Records Act 2002* requires ACT agencies to have, and to comply with a Records Management Program. This policy statement underpins the Records Management Program for Transport Canberra and City Services, and complements the existing information management framework. This policy also supports Directorate objectives and outcomes.

2.0 Records Management Policy

2.1 Purpose

Transport Canberra and City Services (TCCS) is responsible to the community for effectively managing the information and records in its care. The purpose of this policy is to establish the framework for the creation and management of TCCS records and recordkeeping metadata.

This policy broadly identifies records use within TCCS, how they will be created and maintained to satisfy TCCS business needs and meet legal requirements, accountability, and stakeholder expectations.

The Records Management Policy:

- outlines the scope of, and basis for, the recordkeeping policy;
- outlines the objectives and benefits of the recordkeeping policy;
- identifies the kind of records needed to support core business activities and meet accountability requirements;
- spells out the principles of the recordkeeping environment;
- provides a framework for staff development; and
- acknowledges collaboration between TCCS and other directorates .

2.2 Scope

The Records Management Policy impacts upon TCCS work practices for all those who:

- create records including electronic records;
- use or have access to records;
- have any other responsibilities for records (e.g. storage or transport);
- have management responsibility for staff engaged in these activities;
- manage, or have design input into information technology applications;
- collaborate with other directorates; and
- manage executive documents.

Records Management Procedures that meet business needs support this policy.

2.3 Objectives and Benefits

The objectives of the Records Management Policy are to:

- manage the information resources of TCCS as a valuable asset that is critical to the business of government;
- keep all records to meet accountability and operational efficiency requirements;
- ensure records containing sensitive information including those which contain personal information and which enable people to establish links with their Aboriginal and Torres Strait Islander heritage are appropriately managed and preserved;
- ensure all managers promote good recordkeeping practices within the businesses they manage and communicate the need for good recordkeeping to all staff they supervise; and
- ensure collaboration with other directorates is managed effectively.

The benefits of the Records Management Policy are:

- more efficient access and retrieval of records;
- better quality advice to senior management and ministers;
- better customer service;
- quicker and more satisfactory response to media issues;
- enhanced decision making at both operational and strategic levels;
- greater accountability and improved knowledge management;
- improved long term planning;
- improved access to information to guide decision making; and
- management of storage costs due to correct disposal procedures.

3.0 Requirements of the Territory Records Act 2002 (the Act)

3.1 Commitment to adhere to the requirements of the Act

Section 16(1) of the Act states that:

- an agency must have an approved records management program; and
- the Director-General is responsible for meeting the requirements of the Act.

This policy commits TCCS to compliance with all paragraphs of s16 of the Act.

3.2 Agency to make and keep full and accurate records

Section 14 of the Act states that:

- An agency must make and keep full and accurate records of its activities.

All TCCS staff must create full and accurate records of their activities and that the records are kept in appropriate systems. All decisions made by TCCS staff are to be recorded and kept in appropriate systems.

All staff must comply with TCCS records management procedures. Full and accurate records will also provide evidence of TCCS activities for accountability and legal purposes and meet expectations of the community.

3.3 Agency records management requirements

Records are uniquely identified and incorporated into an appropriate records management or information management system as soon as received.

TCCS paper records must be titled according to the Whole of Government Thesaurus as provided by Territory Records Office (TRO). Digital records held in information management systems require active management, including effective metadata control.

Destruction of records can only occur once appraised and identified in conjunction with disposal schedules approved by the Director of Territory Records.

Administrators monitor records management systems and any issues are rectified as and when identified. TCCS also contributes to annual reporting requirements for the TRO to measure TCCS compliance with the Act. This ensures that the identification and retrieval of information remains consistent and meets the needs of the Records Management Program and business operations.

TCCS records management and information management systems are:

- TRIM database of registered paper files;
- TRIM database of government business documents;

- Objective database of government business documents;
- TCCS shared drives storing digital information and records;
- Integrated Asset Management System (IAMS);
- MyWay database;
- NXTBUS database;
- Library users database;
- Oracle financials; and
- Projectwise.

3.4 Ownership of records (section 9 of the Act)

TCCS will be accountable for records, in whatever format and from whatever source that it collects, processes, stores and disseminates. All records created, received or maintained by TCCS are government property. No records belong to individual employees.

Shared Services acts as custodian of personnel and finance records on behalf of TCCS.

3.5 Security of records

3.5.1 Privacy and confidentiality

TCCS will take all reasonable precautions to ensure personal information about individuals, commercial in confidence information, or other sensitive information is not misused. Such information will only be shared with other organisations when it is appropriate to do so or legislative powers allow it. The TCCS Privacy Policy outlines how personal information is managed by the Directorate.

3.5.2 Semi-active records security

Records which are no longer required for day to day work will be stored according to records management procedures.

3.5.3 Classification of records

Record security requirements will be established at creation/registration and will include identification restrictions relating to their availability for access, use or alteration.

3.6 Agency or Government information management plans

This policy is a component of the TCCS Records Management Program developed to meet the requirements of the Act. Other relevant legislation, standards and documents include but are not limited to:

- Territory Records Office Standards;
- Territory Records Office Advice;

- Territory Records Office Guidelines;
- Whole of Government Thesaurus;
- Approved Records Disposal Schedules ;
- *Public Sector Management Act 1994*;
- *Freedom of Information Act 1989*;
- *Crimes Act 1900*;
- *Evidence Act 1971*;
- *Information Privacy Act 2014*;
- *Electronic Transactions Act 1999 (C'th)*;
- AS/ISO 15489 2002 Records Management;
- TCCS business rules e.g. Disaster Recovery Plans; and
- Shared Services ICT policies and procedures, e.g. business continuity plans, email policy.

3.7 Responsibilities of staff in relation to records management

All staff have responsibilities in relation to the records of the function they perform. The Director, Governance and Business Solutions is the TCCS senior executive in charge of records management.

All TCCS staff shall:

- understand the records management obligations and responsibilities that relate to their position;
- adhere to ACT Government policies, procedures and standards for keeping records documenting their daily work; and
- only destroy records using an authorised disposal schedule or through the application of normal administrative practices.

3.8 Status of TCCS Records Management Procedures

This policy is supported by TCCS Records Management Procedures. These procedures outline in detail the way TCCS staff will create and keep records, how records will be disposed of and how access to them will be provided.

Adherence to the requirements of both this Policy and the Records Management Procedures is mandatory for all staff. All staff will have access to appropriate training to understand their recordkeeping responsibilities.

The procedures will be reviewed every two years or earlier if necessary.



3.9 Records management standards used by TCCS

TCCS will work with the TRO to achieve compliance with records management standards and the Act. In cases where records management issues arise which are not covered by TCCS Records Management Policy or Procedures, TCCS will follow advice from the TRO and be guided by the Australian Standard on Records Management (AS ISO 15489).

4.0 Resources

4.1 Definition of terms

Term	Definition
ACTPS	ACT Public Service
Employee	A person employed by the ACTPS to undertake duties within the TCCS. Contractors and consultants engaged to represent the TCCS are also employees.
PSM Act	The <i>Public Sector Management Act 1994</i>
PSM Standards	The <i>Public Sector Management Standards 2016</i>
TCCS	Transport Canberra and City Services
Metadata	Structured descriptive data that must be captured in a recordkeeping system to enable a record to be understood, verified, managed and used. It is data describing context, content and structure of records and their management over time.
Records	Information made, received, and maintained as evidence and information by an agency or person, in pursuance of legal obligations or in the transaction of business. This recorded information must be maintained or managed by the agency to provide evidence of their business activities. Records can be written, electronic or any other form.
Recordkeeping	The activity of making, capturing and maintaining complete, accurate and reliable evidence of business transactions in the form of recorded information.
Thesaurus	A uniform and standardised classification of terms based on the business functions and activities of an agency that provides controlled vocabulary and consistency for classifying, titling and indexing. A hard copy thesaurus is presented as an alphabetical list of allowed and non-allowed terms. A thesaurus in an electronic records management system provides system prompts that assist with titling and indexing files.

4.2 Relevant legislation

Legislation	Location
<i>Territory Records Act 2002</i>	http://www.legislation.act.gov.au/a/2002-18/default.asp

4.3 Relevant resources

Policy/Document	Location
TCCS Records Management Procedures	http://intccs/cdr/docs/Forms/New%20Folder%20Level%20View.aspx?RootFolder=%2Fcdr%2Fdocs%2FRecords%20Management&FolderCTID=0x012000929107E2877ACB4E9630B0680C985671
TCCS Privacy Policy	http://www.tccs.act.gov.au/tams_files/privacy