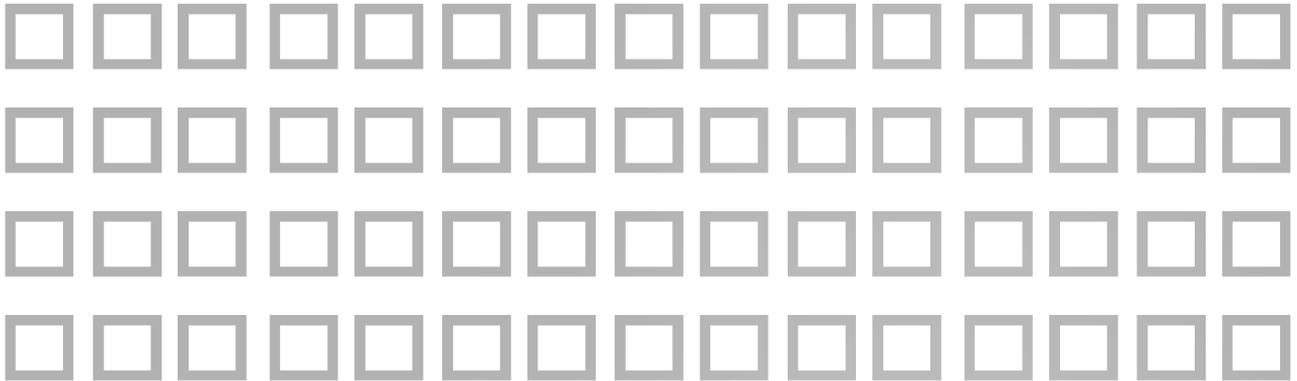


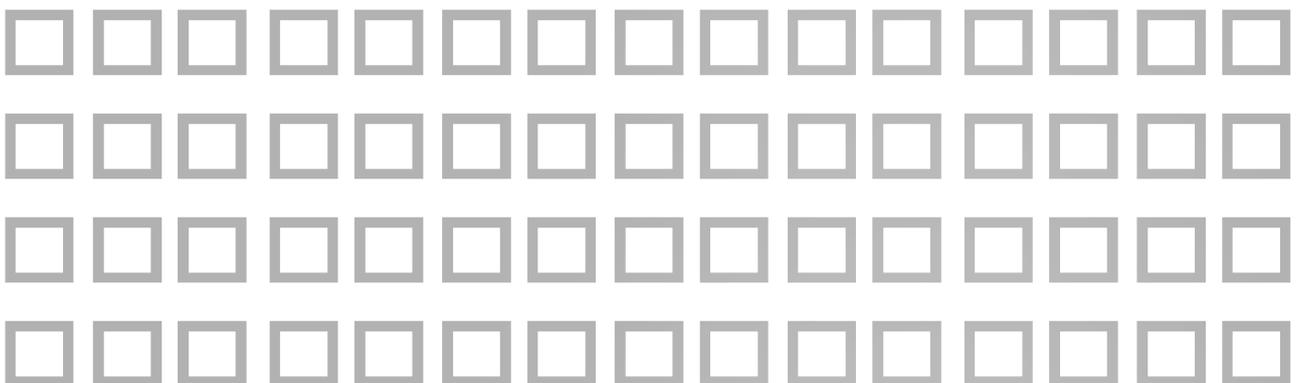
Elections ACT

ACT ELECTORAL COMMISSION OFFICERS
OF THE ACT LEGISLATIVE ASSEMBLY



Records Management Program

24 December 2015



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SECTION 1 RECORDS MANAGEMENT PROGRAM: INTRODUCTION

The *Territory Records Act 2002* requires agencies to have an approved records management program. As defined in the *Territory Records Act 2002*, Officers of the ACT Legislative Assembly are an agency.

The ACT Electoral Commission is an independent statutory authority established under the *Electoral Act 1992*. Members of the ACT Electoral Commission are Officers of the Legislative Assembly.

Distinct and identifiable (Principle 1 of Standard 1)

This is the records management program for the ACT Electoral Commission, Officers of the Legislative Assembly (the Commission). It complements the existing information management framework and is a strategic document supporting the organisational objectives and outcomes.

Compliant with the Territory Records Act (Principle 1 of Standard 1)

The Commission's records management program:

- Addresses all of the elements set out in section 16 of the Territory Records Act; and
- Meets all of the requirements set out in the standards and codes released by the Director of Territory Records under the Territory Records Act.

Approved (Principle 1 of Standard 1)

In being signed off by the principal officer of the Commission, as defined at section 8 of the Territory Records Act, this records management program meets the requirements of the Territory Records Act for approval.

The Commission's records management program meets the requirement of section 17 of the Territory Records Act, because:

- It complies with approved standards and codes.
- The Commission has notified the Director of Territory Records as to which approved functions from the *Whole of Government Records Disposal Schedule* are appropriate for the records created by the Commission (see page 21).
- The records management program contains all the arrangements required under section 16 (2) of the Territory Records Act.
- The Commission does not create or hold records containing information that may allow people to establish links with their Aboriginal or Torres Strait Islander heritage.

The principal officer's approval is evidence that appropriate resources are available to enable the records management program to be established and maintained. The approval indicates that all the elements outlined above have been satisfied and that the Territory Records Act and the Electoral Act are compatible with regards records management and the destruction of electoral papers (section 335 of the Electoral Act). The contents of the approved records management program will be available to all staff in the Commission and staff will receive sufficient training to ensure they understand its purpose and are familiar with its contents.

Given to Director of Territory Records (Principle 1 of Standard 1)

As required under section 17(3) of the Territory Records Act, a copy of the Commission's records management program will be given to the Director of Territory Records immediately following its approval.

Implementation (Principle 3 of Standard 1)

As principal officer of the Commission, I ensure that this agency complies with its records management program, which will be implemented by the following means:

- The Commission'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 Commission's records management.
- All of the Commission's records are stored in an appropriate and secure environment.
- The roles, authorities and responsibilities of all staff of the Commission 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 Commission.
- Programs may have appendices that are part of the records management program and provide explanatory material to aid in stakeholder understanding or useability.
- 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 Territory Records Act for the agency's functions and their use is monitored.
- The agency's records management implementation is reported on annually.

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

Section 21 of the Territory Records Act requires that records management programs must be available for inspection by the public. After approval by the Principal Officer, the Commission's records management program will be available free of charge during ordinary working hours at the office of the ACT Electoral Commission and on their website.

Consistent with administrative directions of government (Principle 1 of Standard 1)

The records management program for the Commission acknowledges, where relevant, administrative directions of government, and will comply with government standards where they apply to the Commission.

Specific administrative directions with which this program is consistent and government acknowledged reports relevant to the Commission's records management program include:

- Chief Executive Financial Management Instructions; and
- The ACT Government Cabinet Handbook.

Other relevant reports include:

- ACT Electoral Commission Business Continuity and Risk Plan 2015;
- ACT Electoral Commission Governance Framework 2015;
- ACT Electoral Commission Communications Policy;
- ACT Electoral Commission Social Media Policy 2015
- ACT Electoral Commission Fraud and Corruption Prevention Plan; and
- ACT Electoral Commission Operational Plan.

The responsibility of an identified senior manager (Principle 1 of Standard 1)

The ACT Electoral Commissioner is the Commission's principal officer in charge of records management, including this records management program.

Contains a compliant records management policy (Principle 2 of Standard 1)

The records management program of the Commission 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 Commission.

[Section 2](#) contains the records management policy for the Commission.

Contains compliant records management procedures (Principle 3 of Standard 1)

The records management procedures of the Commission specify how the policy will be implemented. They detail the practical requirements of recordkeeping and identify responsibility for each of the tasks in the recordkeeping process.

[Section 3](#) contains the records management procedures for the Commission.

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.

This records management program contains the records management measurement and review strategies for the Commission including a list of the performance measures against which records management policy, procedures, implementation and review are measured.

The whole of the Commission's records management program is reviewed not less than every 5 years. In practice, recordkeeping systems of the Commission are subject to an internal audit every four years in keeping with the electoral cycle in order to ensure that they continue to comply with regulatory requirements and meet the recordkeeping needs of the Commission. Specific elements of the Commission's records management program are reviewed more regularly within the four year cycle including an annual file review of files becoming eligible for public access or for destruction.

The Commission's records management program can be delivered only with suitably trained and skilled staff. In accordance with the responsibilities outlined elsewhere, the Commission implements the following requirements:

- Training in recordkeeping skills covers all staff and delivers skills and awareness of differing levels according to the exposure of each person to the Commission's compliance records management requirements. It also covers records in all formats and all of the Commission's recordkeeping systems, including the Commission's nominated functions from the Whole of Government Thesaurus of Terms and the Whole of Government Records Disposal Schedule.
- The Office Manager and Administrative Assistant document recordkeeping training courses attended by staff and encourage participation in the training courses available.
- If required, the Commission will request assistance, advice and training from the Director of the Territory Records Office.
- A skills audit ascertaining the training requirements of the Commission's staff is undertaken as part of their performance appraisal. Mandatory consideration of records management training requirements are built into individual staff performance plans.
- Approval by the principal officer (Principle 1 of Standard 1).

In accordance with section 8 of the *Territory Records Act 2002* I, the ACT Electoral Commissioner, hereby approve the records management policy and procedures applying in the Commission.

In accordance with my responsibilities, I:

- Approve the Commission's records management program and provide a copy to the Director of Territory Records;
- Have sought and obtained certification from the Director Territory Records for any aspects of the records management program where non-compliance is necessary for the Commission's operations. Apart from these specific aspects (if any), the approved records management program complies with the requirements of the Territory Records Act and its associated codes; and

- Make the Commission'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.

Signature of principal officer – Acting Electoral Commissioner

Date of promulgation

24 December 2015

SECTION 2 RECORDS MANAGEMENT PROGRAM: POLICY

Introduction

The *Territory Records Act 2002* requires ACT agencies (which includes Officers of the Legislative Assembly) to have, and to comply with, a records management program. This policy outlines the records management program for the Commission and details how the Commission will adhere to the requirements of the Territory Records Act.

Definition of ACT Electoral Commission

In this program, references to the Commission are intended to refer to the ACT Electoral Commission established and constituted under sections 5 and 6 of the *Electoral Act 1992*, and to the office of the Electoral Commissioner, including staff employed to assist the Commissioner under the *Public Sector Management Act 1994* in accordance with section 31 of the Electoral Act, temporary staff and consultants employed or engaged under section 32 of the Electoral Act and officers appointed under section 33 of the Electoral Act.

Agency recordkeeping requirements

The Commission 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 the Commission must make and keep, is given in the Commission's records management procedures (Section 3 below).

Full and accurate records

The making and keeping of full and accurate records of the Commission'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 Commission's recordkeeping system and to comply with all records management procedures.

Ownership of records

All records made or received by the Commission are the corporate property of the Commission. All records that staff make, receive and maintain as part of their duties belong to the Commission and no records belong to individual employees. The Commission 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.

Responsibilities of staff in relation to recordkeeping

All staff of the Commission have recordkeeping responsibilities.

The ACT Electoral Commissioner is the Commission's principal officer in charge of records management and is responsible for:

- Ensuring compliance with all parts of the Commission's records management program; and

- Ensuring that all parts of the Commission's records management program are kept updated to reflect all recordkeeping requirements that the Commission must meet (including the administrative directions of government in Section 1).

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.

The Office Manager has specific records management responsibilities mandated in their position duty statement. They 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 Commission's recordkeeping system and to comply with all records management procedures.

Records management procedures

This policy is supported by the Commission's records management procedures (Section 3). It details the way all staff in the Commission 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 Commission 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 records management procedures is obligatory for all staff.

Recordkeeping standards

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

Relationship to other policies

The Commission's records management program is included under the Commission's corporate plan at section 3.3 Records Management. This program is not to be seen as subordinate to any other part of the corporate plan or any other policy. In the case of any apparent contradiction between policies the issue is to be referred to the ACT Electoral Commissioner for resolution.

This policy is consistent with the ACT Public Service Code of Conduct 2012 and the ACT Public Service Code of Ethics 2010.

Review of policy and procedures

This policy will be reviewed every four years as part of the Commission's internal four year audit cycle. The Commissioner is responsible for initiating this review and may initiate an earlier review if circumstances make it appropriate to do so.

SECTION 3 RECORDS MANAGEMENT PROGRAM: PROCEDURES

The *Territory Records Act 2002* requires ACT agencies (which includes Officers of the Legislative Assembly) to have an approved records management program. Principle 3 of *Standard No. 1 – Records Management Programs*, issued under the Territory Records Act, requires programs to be implemented. This section contains procedures by which the Commission will implement its records management program, based on its records management policies (Principle 2 of Standard No.1).

Introductory procedures material

Purpose

These records management procedures for the Commission detail the means by which the Commission will implement its records management policies (Section 2 above).

Compliance by all staff

All staff of the Commission 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 provide an overview and some operational detail for staff of the Commission. In addition, staff must have access to, and comply with the requirements of the following:

- Whole of Government Thesaurus of Terms; and
- Whole of Government Records Disposal Schedule.

Operational recordkeeping instructions are contained in a separate document available for the Commission's use and are separate from the Commission's records management program.

Date and duration

These procedures apply from the date of approval of Section 1 of the records management program of the Commission by its principal officer under the Territory Records Act. They remain in force until reviewed (see below).

Recordkeeping environment

Recordkeeping system

The Commission holds records in a range of formats, including paper, electronic and CDs. It operates with recordkeeping systems for paper-based and digital records.

Paper-based system comprises:

- Shared Services Records Services staff who are responsible for, and have the skills to manage the Commission's files;

- Shared Services TRIM database for the capture, use, access, storage and disposal of the Commission's paper based and electronic files and the management of all current ACT Government personnel records;
- Action officers who understand the processes and procedures for requesting files to be created, accessed and retained by Shared Services 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;
- The *Whole of Government Records Disposal Schedule* that ensures legal disposal of paper files and records; and
- Equipment and stationery (standard file covers, file clips, compactus, computers etc).

Electronic system comprises:

- TRIM database for the electronic management of records including Shared Services WIRE interface for TRIM;
- SQUIZ, a vendor online content management system;
- TIGER, an Access database that includes REF (Register of Electoral Files), a historic record of files created by the ACT Electoral Commission, in use prior to the commencement of TRIM;
- Microsoft Office documents;
- Digital documents in portable document format (pdf files);
- Other digital document formats in use by the Commission;
- Social media including Facebook, YouTube and Twitter; and
- The Commission's shared corporate drive (G: drive), where many of the documents are located, are maintained by Shared Services ICT.

Records management principles

The Commission 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 Commission makes and maintains authentic, reliable and useable records, and protects the integrity of those records for as long as required. To do this, the Commission has carried out a comprehensive 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 and 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 Commission 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 Commission 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 1998* (which protects members of the public from the misuse of information about themselves and which gives people a right to see records about themselves); and
- *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 Commission has functions prescribed are:

- *Electoral Act 1992* (which details the requirements for keeping electoral-specific records);
- *Electoral Regulation 1993*;
- *Referendum (Machinery Provisions) Act 1994* (which details the requirements for keeping referendum-specific records);
- *Magistrates Court (Electoral Infringement Notices) Regulation 2012*;
- *Aboriginal and Torres Strait Islander Elected Body Act 2008*; and
- *Health Professionals Regulation 2004* (for the Veterinary Surgeons Board).

Recordkeeping standards employed

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

Resourcing the records management program

Financial resources

Expenses of the operation of the records management program will be met from the Commission's normal budgetary arrangements.

The Commission has a single partnership agreement with Shared Services for the provision of records management and mail services.

ACT Records Services will provide administrative support for TRIM and the outsourcing of archived records administered by a memorandum of understanding.

Human resources

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

1. Principal officer - ACT Electoral Commissioner

The Commission's principal officer has statutory responsibility under the Territory Records Act for ensuring that the records management program is created, approved, implemented and adhered to. Specifically, the principal officer has responsibility for delivering the records management program of the Commission. This includes:

- (a) Compliance with external records management standards;
- (b) The implementation of internal recordkeeping practices;
- (c) Ensuring all personnel are aware of their individual responsibilities to create and keep records in corporate recordkeeping systems in accordance with the Commission's records management program;
- (d) Ensuring that recordkeeping systems underpin and support business processes;

- (e) The appointment of a records manager to manage the day-to-day records management of the agency;
- (f) Approval of procedures that are included in the Commission's records management program;
- (g) Ensuring new and existing personnel under their control undertake recordkeeping awareness training;
- (h) Ensuring full and accurate records of business activities are made and kept;
- (i) Developing and implementing performance measures to meet corporate objectives and relevant standards; and
- (j) Reviewing and updating the records management program at least every five years.

2. Records manager – Office Manager

The Office Manager has overall day-to-day responsibility for the Commission's records management. This includes ensuring compliance with:

- (a) Strategic planning for records management activities, including resourcing, staffing and budgeting;
- (b) Assigning records management tasks to identified positions if required;
- (c) Incorporating recordkeeping principles into all business processes;
- (d) Obtaining expert advice where required on records management issues and practices;
- (e) Meeting reporting requirements;
- (f) Arranging appropriate resources allocation to enable the program to be established and maintained, in accordance with the principal officer's commitment in section 1;
- (g) Designing, developing and maintaining recordkeeping systems including the development and maintenance of functions-based thesaurus;
- (h) Accepting non-current files for storage, managing the storage of records, and providing a retrieval service;
- (i) Providing training to staff in recordkeeping principles and practices;
- (j) Implementing performance measures and evaluation measures to meet corporate objectives and relevant standards;
- (k) Facilitating public access to records in cooperation with the Commission's FOI officer;
- (l) Appraising and developing the functional records disposal schedules applicable to the Commission;
- (m) Sentencing records to determine retention periods against the Whole of Government Records Disposal Schedule; and
- (n) Implementing reviews and updates of the records management program at least every five years.

3. All staff

All staff in the Commission have record management responsibilities. Good recordkeeping is practised by staff as a normal part of everyday business processes. Staff fulfil their recordkeeping responsibilities by adhering to the Commission's policy and procedures for records management. In particular, staff must be able to:

- (a) Make accurate and full records as evidence of their business activities;
- (b) Identify, classify, and capture records including electronic records, into official recordkeeping system(s);
- (c) Apply thesaurus terms from the *Whole of Government Thesaurus of Terms* to files to ensure consistent classification, titling and indexing;
- (d) Create new files (whether paper files or electronic containers) and close files; and
- (e) Protect and dispose of records using approved disposal schedules.

4. Managers and 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 meet all the requirements of the Territory Records Act by complying with the Commission's policy and procedures for records management. It is the responsibility of every business manager to support recordkeeping practices and processes of their staff. In cooperation with the office manager they will:

- (a) Ensure their staff attend an introductory recordkeeping course;
- (b) Ensure their staff have access to tools, procedures and expertise to help them carry out their recordkeeping responsibilities;
- (c) Encourage compliance with the Commission's records management program;
- (d) Have detailed knowledge of business recordkeeping requirements in areas for which they are responsible;
- (e) Know the records management procedures in sufficient detail to be able to meet their responsibility;
- (f) Be familiar with the principles of records management;
- (g) Ensure that records are made as evidence of business activity and are captured into official recordkeeping systems;
- (h) Ensure adequate on the job training in good records management practice; and
- (i) Monitor that the records management procedures are implemented.

5. Human resource manager – Office Manager

The Commission's induction and general training programs include basic records management principles, processes and practices and the need to comply with the Commission'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.

6. Website manager – Deputy Electoral Commissioner

It is essential that web-based records, whether provided in-house or outsourced, are identified and maintained in line with the Commission'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.

7. System administrators – ACT Record Services

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

8. Social media administrators – Education and Information Officers

Social media administrators are responsible for maintaining and monitoring the social media used by the Commission, including Facebook, Twitter and YouTube.

9. Contractors and consultants

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

10. Exit protocols

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

Staff must complete and sign the Commission's *Declaration on Separation* form confirming that all filing is complete and up to date.

Recordkeeping practices and business rules

Determining what is a record

Records are defined under section 9 of the Territory Records Act, the Australian Standard on Records Management, AS ISO 15489, and in the Territory Records Office's *Guideline No. 1 – Records Management Program* and *Standard Number 3 – Records Description and Control*. Further guidance is given in the Territory Records Office's *Records Advice No. 1 – What is a record?*

Section 9 of the Territory Records Act defines "record" by stating: "a **record** of an agency ... is a record, in written, electronic or any other form, under the control of the agency or to which it is entitled to control, kept as a record of its activities, whether it was created or received by the agency."

For the purposes of these procedures, a record of the Commission is defined as "a record made or received by the Commission that is kept as evidence of a business activity".

To be a record, a document or item of information needs to be related to the Commission's activities, and it must have evidential or archival value. Accordingly, all documents or items of information created or received by an agency are not automatically "records".

Common types of records with evidential value include administrative records, accounting records, project records and legal or client case files. Other types of documents with historical or informational value should also be treated as records with archival value. Responses to information sought on social media or comments received from the public that may relate to the transaction of the Commission's business should be treated as a record with informational value and kept.

In order to determine whether a document or piece of information is a record, an officer must determine whether it has evidential, historical or informational value. Some factors to consider include:

- Is the document evidence of activity that might be of archival, historical or informational value?
- Is it likely to be referred to again?
- Is there a legal requirement to publish or keep the document?
- Is the document likely to be relevant if a matter is taken to court?
- Is the document a draft that has been superseded by another version?

Examples of documents that are records:

- Advice to ministers, the Speaker or Members of the Legislative Assembly;
- Published reports and documents (including web site pages);
- Policies;
- Procedures;
- Records of decisions;
- Agendas and minutes of significant meetings;
- Formal Electoral Act documents;
- Significant correspondence with other agencies and with external clients;
- "Notes for file" of significant events or conversations;
- Requests for and responses to information on social media;
- all posts made by Elections ACT; and
- Comments made by the public on social media that may have evidential or informational value.

Examples of documents that do not need to be kept as records:

- Email exchanges of no evidential or archival value;

Making and capturing records

ACT Electoral Commission records may be in any form, for example:

- Paper, digital, electronic;
- Documents or files, maps, plans, drawings, photographs etc;
- Data from business systems, word-processor documents, spreadsheets, email, digital images, screen dumps;
- Audio or video; or
- Handwritten documents.

Before creating a record determine the following:

- Form of record (digital, paper or a hybrid which is both digital and paper);
- Security classification of record (restricted, unrestricted);
- Retention period (to be retained as a territory archive or to have a limited life);
- Type of record (Registry which will have a disposal class to be retained as a territory archive or blue internal Commission record which will have a disposal class that allows it to be destroyed; and
- Name of record.

Social media

- Facebook posts and comments and YouTube comments to be kept as a record will be captured by RSS Feed (an online notification system for social media sent to Elections ACT's Inbox) or screen shot then placed in the appropriate container in TRIM.
- Twitter posts and comments to be kept as a record will be captured in RSS Feed and migrated to an appropriate container in TRIM.
- Videos uploaded to YouTube by the Commission that are to be kept are maintained in physical (DVD) or electronic format within the Commission's recordkeeping systems and placed on a file in the Commission's physical filing system or migrated to an appropriate container in TRIM.

Locating records

Records created by the Commission are held in the following locations:

- Formal digital records (containers) are located in TRIM;
- Formal paper records (files) are located at either the Commission (storage compactus) or at Records Services depository, depending on whether they are a Registry file or a blue internal Commission file.
- Formal digital records including emails and documents may be held on the network drive temporarily until being placed as content in the appropriate digital container in TRIM.

Formal records may be accessed through the search facility in TRIM. Digital records may be accessed by opening the digital record in TRIM. TRIM also provides a look up facility for identifying the record number allowing a physical search for a paper record in the compactus, or a request for a record to be retrieved from Registry as appropriate.

Records held on the G: drive are accessible to all Commission staff through their desktop computers.

Storage and movement of records

On-site storage

Records that are classified as restricted or above, must be kept in a secure location such as a locked filing cabinet or lockable compactus. Digital records with this classification are contained in TRIM with the security provisions appropriate to the classification.

Records that are unclassified may be stored at work stations or in the compactus. Digital records with this classification are contained in TRIM with the security provisions appropriate to the classification.

Off-site storage

Physical records may be sent to ACT Record Services for long term storage in their archives. This primarily relates to records that are not of immediate need, may be of historic value, and have a long retention period such as a disposal class of 60 years or more, or are never to be destroyed (Retained as Territory Archives).

To retrieve a physical record which has been archived, email Record Services Helpdesk with the file number, name of the requested file and a delivery address.

Physical records may also be sent to a locked storage facility at Hume that is maintained by the Commission. Records that need to be stored until they reach their destruction period, usually following an election cycle or an annual cycle and do not need to be held within the Commission, may be stored at this facility.

Preservation of records

Physical records must be stored in controlled conditions appropriate to ensure their longevity. The office of the Commission provides an appropriate environment for their storage. Records of enduring value are stored at ACT Record Services archives.

Digital or electronic records must be stored in an environment that ensures the record will remain accessible over the life of the record.

Hybrid records (both physical and digital) will need to follow the requirements of both.

The *Territory Records Act 2002*, outlines the legislative responsibilities organisations have to ensure the preservation of records containing information that may allow people to establish links with their Aboriginal or Torres Strait Islander heritage. Should any such records be found in the Commission, they will be retained as territory archives as required by the Territory Records Act.

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.

Further, only the ACT Electoral Commissioner can approve the destruction of records held by the Commission (see *Authorised destruction*).

Appraisal is the process of evaluating business activities to determine which records need to be captured and how long those records need to be kept to meet business needs, requirements of agency accountability and community expectations.

Appraisal is covered in the Commission's *Business Classification Scheme* and *Elections Records Disposal Schedule*.

Advice on sentencing

Sentencing is the process of identifying and classifying records according to the records disposal schedules and applying the disposal action specified in it.

Sentencing from creation is the process of allocating a disposal action at the point of creating a record. By including disposal information at the time of making files, many of the tasks involved with records disposal can be automated. When a new record is entered into TRIM the disposal action and the disposal class is recorded. Where a physical record is created, a label is to be printed and attached to the front of the record. Administrative practice in the Commission is to create an additional label that details the disposal action and disposal class and is attached beneath the first label on the record.

Territory Administrative Records Disposal Schedule (TARDiS)

The Director of Territory Records has approved the *Territory Administrative Records Disposal Schedule* which incorporates the *Territory Version of Keyword AAA*, a thesaurus of common administrative terms, as a records disposal schedule for records relating to administrative functions common to agencies.

<http://shareservices/territoryrecords/Records%20Disposal%20Schedules/WhoG%20RDS%20HTML/index.htm>

The use of this records disposal schedule will ensure a consistent approach to the disposal of these records across the Territory. It includes two records disposal schedules specific to electoral matters which document whether records should be retained or destroyed once they are no longer required to meet the Commission's business needs, accountability requirements or community expectations.

Whole of Government Thesaurus

This thesaurus describes our common business language by identifying the preferred words for describing documents in all of our information systems.

<http://shareservices/territoryrecords/Thesaurus/WhOG%20Thesuarus%20HTML/index.htm>

It comprises three elements:

- Function - the broadest unit of business performed by Whole of Government;
- Activity descriptor - major tasks or areas of service undertaken within each function; and
- Disposal class - topics being addressed within function/activities.

The Commission also includes subject headings and descriptors for many of the functions and activities. These provide further guidance to staff and ensure greater consistency across record names.

Functions used by the Commission are:

- Community relations;
- Election and referendum services to other agencies;
- Elections and referendums for the ACT Legislative Assembly;
- Equipment and stores;
- Establishment;
- Financial management;
- Fleet management;
- Government relations;
- Industrial relations;
- Information management;
- Legal services;
- Occupational Health and Safety (OH&S);
- Personnel;
- Property management;
- Publications;
- Strategic management; and
- Technology and telecommunications.

Authorised destruction of records

Staff in the Commission must:

- Use only the *Territory Administrative Records Disposal Schedule* to authorise the destruction of records;
- Ensure that records disposal schedules are correctly applied to records; and
- Ensure that all sentencing decisions are recorded and retained.

Regardless of the disposal action associated with a record, no record is to be destroyed without the written approval of the Commissioner, with all such approvals to be retained as territory archives.

Secure destruction

Records approved for destruction must be transported and disposed of securely.

Pulping is the preferred method of destruction for paper records, although shredding or secure waste bins may be suitable for non-sensitive material. Records in other formats such as floppy discs, CDs, computer hard drives, film, video and magnetic tapes should be destroyed by appropriate methods. Further advice can be sought from the Territory Records Office.

Normal administrative practice (NAP)

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 designed to ensure that transitory material can be disposed of without the need for formal approval of destruction and to improve business efficiency without risk to accountability.

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 agency's record keeping system – ensure this is the case before destroying the copy;
- Drafts where the contents have been superseded in a final document;
- Modifications and updating of data as part of the 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 Commission's functions;
- Emails with a business context but no evidentiary value (for example, notification of a meeting or a message containing an attached document); and
- Personal documents such as invitations, tickets, brochures etc.

Records are covered by the *Elections Records Disposal Schedules* included in the *Territory Administrative Records Disposal Schedule*. Refer to the *Territory Records Office Records Advice No. 2 - Normal Administrative Practice (NAP)*, for further information on material that can and cannot be destroyed under these provisions.

All records created prior to the implementation of this records management program, including pre-self-government records (that is records made prior to 1989) are to be appraised using the approved records disposal schedules. These records all potentially became available for public access from mid-2007 under s.26 of the Records Act.

For all files that were named prior to the introduction of the 2004 ACT Electoral Commission's *Records Disposal Schedules*, the Commission's records manager will arrange to attach relevant disposal labels according to this schedule.

Public access and use

The Commission's approved records management program will be available on the Commission's website or by contacting the Commission.

Archives ACT was established on the 1st of July 2008 as the public access to ACT Government records section of the Territory Records Office. A request for access from a member of the public should be directed to Archives ACT who will make arrangements for access to the requested records. The Commission may be asked to assist Archives ACT in retrieving records. Further information and procedures relating to access are contained in the *Territory Records Office Standard for Records Management No.4 - Access*.

According to the *Territory Records Act 2002*, records are open to public access on the next Canberra Day after the record reaches 20 years of age.

The Commission is responsible for examining records that reach 20 years to ensure their contents may be available for public access. Although the principle of openness guides decisions relating to access, some records will need to be exempted from public access.

The *Territory Records Act 2002* sets out the criteria for records which may require exemption. These criteria are from the *Freedom of Information Act 1989* and relate to records:

- Affecting relations with the Commonwealth and the States;
- Affecting enforcement of the 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.

Records are exempted from the access provisions of the Territory Records Act by the Director of Territory Records making a declaration under section 28 of the Territory Records Act upon request from agencies.

The Commission, as part of its review process for older (20 year old) files, will consider if any of these should be exempted, either partially or wholly, from public access and a request for exemption under section 28 made to the Director of Territory Records, as required. The Commission maintains a record of files exempted from public access by the Commission.

Other compliance information

Notification of outsourcing

ACT Government's procurement guidelines are in the *Government Procurement Act 2001*. This process of notifying the Territory Records Office is a separate legislative requirement.

The Commission's procedures for outsourcing include the requirement for the Commission's Records Manager, nominated in Section 1, to inform the Director of Territory Records about any arrangements for outsourcing or internal outsourcing all or any part of its records management.

Procedures for outsourcing will be contained in the Commission's memorandum of understanding with ACT Record Services.

Examination by Director of Territory Records

The Commission is committed to providing assistance to the Director of Territory Records to examine the operation of the Commission's Records management program and compliance with the program. The Commission's Records Manager, nominated in Section 1, will liaise with the Director of Territory Records to assist with any examination.

Dispute resolution

Should there be a dispute about whether the Commission is compliant with the Territory Records Act or the Records management program, the Commission's Records Manager, nominated in Section 1, will examine the program. This examination will include the following procedures:

11. Liaise with the Director of Territory records to determine the nature of the dispute.
12. Examine the relevant section of the *Territory Records Act 2002* that relates to the dispute and examine the Records Management Standards and Guidelines
13. Examine the records management program's policy and procedures that relate to the nature of the dispute.
14. Should the examination show that there are inconsistencies between the records management program and the Territory Records Act/ Standards and Guidelines, the Territory Records Act and the Standards prevail and the Directorate's Records management program will be amended accordingly.
15. 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.
16. The Director of Territory Records is to be notified of the action taken to resolve the dispute, and the outcome.

Compliance Reporting

The Commission will report to the Territory Records Office on its record management activities. The Commissioner will be responsible for this reporting to ensure that:

- The Commission reports to the Director of Territory Records and the Territory Records Advisory Council as required.
- Records management performance indicators are incorporated into other areas of the Commission's business reporting framework including the four year internal audit strategy that covers the electoral cycle as required by Guideline 1.
- Recordkeeping is a key result in all corporate plans.
- Recordkeeping performance is included in the Commission's Annual Report.

Program evaluation and review

Performance measurement and evaluation

The Commission's Records Manager has responsibility for arranging periodic audits of all aspects of the Procedures to ensure compliance with the rules and practices outlined in them. This monitoring evaluates the performance of the Records Management Program to determine whether it is meeting corporate objectives and relevant standards.

The Commission's performance measures include:

- Regular record management program-based monitoring and reporting against plans and objectives; and
- The procedures meet the outcomes of the four year audit cycle of records management.

Provision for review of program

The Commission's Records Manager has responsibility to review and replace or amend the Commission's 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 Commission, 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 Commission, the Business System Descriptive Elements form, which describes each business system against the criteria outlined in *Territory Records Standard – Number 3: Description and Control*, has been completed for each business system used by the Commission (see over).

Business System Descriptive Elements

Business System Name: TRIM HP Records Manager Vendor: ACT Record Services and Shared Services ICT Version Number / Iteration: Version 8 Date Commenced: 1 July 2015 Date Closed (if applicable): N/A	
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: TIGER Vendor: Act Electoral Commission Version Number / Iteration: Date Commenced: 1995 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: SQUIZ Vendor: SQUIZ Version Number / Iteration: Date Commenced: 2012 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.