



Records Advice

No 56

The Recordkeeping Responsibilities of ACT Government Employees

This Records Advice has been prepared to provide ACT Government agencies with a guide to the recordkeeping responsibilities of their employees and representatives as part of their normal business activities under the requirements of the *Territory Records Act 2002*.

Responsibilities

Chief Executives

Chief Executives are ultimately responsible for the operation of their agencies, including ensuring that the agency complies with the *Territory Records Act 2002* in relation to its records. Chief Executives are required to:

- ensure that the agency makes and keeps full and accurate records of its activities;
- ensure that the agency has an approved Records Management Program;
- account for recordkeeping and recordkeeping systems within their agencies to Ministers, the Legislative Assembly and others as required;
- ensure that recordkeeping systems are in place and that they produce full and accurate records;
- ensure that recordkeeping requirements are included in all business activities undertaken by their agencies;
- provide appropriate resources to maintain recordkeeping systems and processes;
- implement the Standards and Guidelines for Records Management developed by the Territory Records Office under the authority of the *Territory Records Act 2002*;
- provide leadership and guidance to actively promote and support a positive recordkeeping culture throughout their agencies;
- nominate a Senior Manager responsible and assign recordkeeping responsibilities within their agencies.

Managers and Supervisors

Managers and Supervisors are responsible for ensuring that the records management policy and procedures set out in the agency Records Management Program are implemented in their area of responsibility, for both paper and digital records. They are required to:

- ensure all personnel are aware of their individual responsibilities to create and keep records in corporate recordkeeping systems in accordance with the agency Records Management Program;
- ensure that recordkeeping systems underpin and support business processes;
- ensure new and existing personnel under their control undertake recordkeeping awareness training;
- ensure full and accurate records of business activities are made and kept.

All agency personnel

All agency personnel are responsible for:

- creating records of their daily agency business activities;
- ensuring that full and accurate records are made and captured into corporate recordkeeping systems and other business systems in a timely fashion;
- ensuring that records are protected by observing policies related to privacy, confidentiality, freedom of information, copyright, licenses and contractual obligations;
- complying with their agency's recordkeeping policies and procedures.

Records Managers

Records Managers are responsible for:

- assisting the Chief Executive and all staff in their recordkeeping responsibilities
- assisting the Chief Executive in making the Records Management Program;
- ensuring effective recordkeeping strategies, policies and procedures are developed, maintained and communicated in compliance with legislative and other requirements;
- ensuring the implementation of recordkeeping policy and procedures in agencies and monitoring and reviewing recordkeeping policies and procedures with key stakeholders;
- providing high level advice on recordkeeping issues to Senior Management, including receiving notifications of recordkeeping non-compliance, coordinating the investigation of such non-compliance and advising the Chief Executive in relation to recordkeeping;
- negotiating with operational areas the necessary infrastructure support to ensure compliant recordkeeping practices and systems;
- negotiating with an agency's service and technology provider concerning the implementation of recordkeeping requirements;
- leading and managing an agency's recordkeeping to ensure requirements specified in all relevant legislation, agency policies and industry best practice are complied with;
- developing and implementing recordkeeping systems;
- identifying recordkeeping requirements in consultation with organisational units;
- ensuring agency's personnel, consultants and contractors are trained and educated in recordkeeping obligations, process and procedures;
- ensuring that strategies and procedures exist to identify and locate records;
- developing, monitoring and maintaining system administration for records systems including configuration and the management of user profiles and access;
- co-ordinating facilities for storing, preserving and accessing inactive and archival records;
- identifying and managing vital corporate records with regard to the relevant storage and accessibility standards;
- developing, managing, testing and reviewing disaster preparedness and recovery strategies and procedures for all records, including electronic records;
- developing records disposal schedules;

Business Information System Owners and Administrators

Business Information System Owners and Administrators responsible for specifying information and systems management requirements and business rules are required to:

- capture, retain and maintain full and accurate records for as long as they are required;
- ensure systems are designed, developed and implemented with appropriate recordkeeping functionality and procedures;
- maintain business continuity plans to ensure records are accessible;
- implement procedures and controls to ensure that records are protected, preserved and authentic.