AFP National Guideline on managing records

Metadata	
Caption	Records management
Document Identifier	SN00015
Description	This national guideline sets out the AFP's obligations to capture, create, store, maintain, and manage full and accurate records.
Governance Function	ICT Services
Owned by	Chief Information Officer
Date First Approved	31/03/2004 10:00 AM
Contact Person	TL Records Management (ICT)
Date Published	18/02/2007 11:00 AM
Date Modified	6/12/2011
Date Last Reviewed	9/03/2011 12:00 AM
Authorised by	Chief Information Officer
Date of Next Review	9/03/2013 12:00 AM
Review Notification	'GovernanceIS@afp.gov.au'
Instrument Type	National Guideline
Replaces	SN00015 - 001
Stakeholders	ICT
Instrument Classification	UNCLASSIFIED

1. Disclosure and compliance

This document is classified **UNCLASSIFIED** and is intended for internal AFP use.

Disclosing any content must comply with Commonwealth law and the AFP National Guideline on disclosure of information.

Compliance

This instrument is part of the AFP's professional standards framework. The AFP Commissioner's Order on Professional Standards (CO2) outlines the expectations for appointees to adhere to the requirements of the framework. Inappropriate departures from the provisions of this instrument may constitute a breach of AFP professional standards and be dealt with under Part V of the *Australian Federal Police Act 1979* (Cth).

2. Acronyms

AFP	Australian Federal Police
AS ISO	Australian Standards International Standards Organization
NZS	New Zealand Standards
PROMIS	Police Real-time Online Management Information System

3. Definitions

AFP record – means recorded information in any form, including data in any computer system, created or received, stored, and maintained by persons employed under the *Australian Federal Police Act 1979* (Cth), or by consultants or contractors on behalf of the AFP, to transact business or conduct affairs, and kept as evidence of such activity. It includes:

- hardcopy paper files
- emails
- data in databases
- notebooks, diaries, fieldbooks and other accountable documents
- evidence collected, maintained and ultimately disposed of in support of AFP investigations.

It does not include personal data created, transmitted or stored using AFP systems.

Capture – means the process of determining that a record should be made and kept. This includes records created and received by the organisation. It involves deciding which documents are captured, which in turn implies decisions about who may have access to those documents and generally how long they are to be retained. (AS ISO 15489.2.2002)

Destruction – means the process of eliminating, deleting or physically destroying records, beyond any possible reconstruction. (AS ISO 15489.2:2002)

Disposal – means the range of processes associated with implementing records retention, destruction or transfer decisions which are documented in disposition authorities or other instruments. (AS ISO 15489.2:2002)

Document – means any record of information, and includes:

- anything on which there is writing
- anything on which there are marks, figures, symbols or perforations having a meaning for persons qualified to interpret them
- anything from which sounds, images or writings can be reproduced with or without the aid of anything else
- a map, plan, drawing or photograph
- within the *Evidence Act 1995* (Cth) any:

- part of a document
- copy, reproduction or duplicate of a document or part of a document
- part of a copy, reproduction or duplicate.

Full and accurate –means, with respect to records:

- compliant with recordkeeping requirements
- adequate for the purpose for which they are kept
- complete in content and containing the structural and contextual information necessary to document a transaction
- meaningful with regard to information and/or linkages to ensure the business context in which the record was created and used is apparent
- comprehensive in documenting the complete range of business for which evidence is required by the organisation
- accurate in reflecting the transactions that they document
- authentic in providing proof that they are what they purport to be and that their purported creators did indeed create them
- inviolate through being securely maintained to prevent unauthorised access, alteration or removal.

Indexing – means the process of establishing access points to facilitate retrieval of records and/or information. (AS ISO 15489.2:2002)

Normal Administrative Practice – means, for AFP purposes and s. 24 of the *Archives Act 1983* (Cth) an agency practice, not disapproved by the National Archives of Australia, to create, manage or dispose of information.

Official AFP information – means any document, record, information, object, or data, received, created, captured, collected or stored in any AFP record keeping system that is:

- information in any form, oral or recorded, concerned with the operations, plans, organisation or administration of the AFP
- the record of any official AFP business transaction or activity
- received from third parties, and stored in any AFP system in either hardcopy or electronic form.

Record – has the meaning defined in s. 3 of *Archives Act 1983* (Cth).

Records management – means the field of management responsible for the efficient and systematic control of the creation, receipt, maintenance, use and disposal of records, including processes for capturing and maintaining evidence of and information about business activities and transactions in the form of records. (AS ISO 15489.2:2002)

Registration – means giving a record a unique identifier on its entry into a system. (AS ISO 15489.2:2002)

4. Authority to create the guideline

This guideline was issued by the Chief Information Officer using power under s. 37(1) of the *Australian Federal Police Act 1979* (Cth) as delegated by the Commissioner under s. 69C of the Act.

5. Introduction

The guideline applies to all AFP appointees and all aspects of AFP operations, including all records:

- captured, created, stored, or managed as a result of the AFP's activities or the activities of its contractors and consultants on behalf of the AFP
- created or stored in all AFP business applications such as PROMIS, office applications, email and other database applications and
- data received from third parties.

This guideline should be read with the AFP Information Policy, Information Security advice and other relevant AFP guidelines.

6. Record-keeping framework

The primary corporate administrative record-keeping system of the Australian Federal Police is the paper-based record-keeping system managed via the Records Management module in PROMIS, where records must be kept in a paper format in registry files.

Electronic storage areas such as Outlook folders, personal drives or other areas storing electronic information are not record-keeping systems. These storage areas lack key recordkeeping functionality and cannot ensure the integrity and security of the record over time. For example, records in these areas can be:

- deleted
- altered
- inappropriately accessed
- inaccessible to when needed.

7. Roles and responsibilities

All AFP appointees should treat official AFP records as Commonwealth records, an important, unique source of evidence and information about the nature of the Commonwealth government and its activities. The creation, maintenance and availability of Commonwealth records are essential for the conduct of Commonwealth administration.

7.1 Chief Information Officer

The Chief Information Officer must provide sufficient support and resources for a records management program.

7.2 Senior managers

Senior AFP managers must manage and implement this guideline through:

- appropriate resource allocation
- other support as required from time to time.

7.3 Coordinators and team leaders

AFP Coordinators and team leaders must:

- implement measures to manage records in accordance with this guideline
- ensure that full and accurate records are created, stored and managed by their respective work groups/teams.

7.4 Appointees and service providers

AFP appointees and consultants and contractors providing services on behalf of the AFP will:

- understand the recordkeeping obligations and responsibilities that relate to their position
- adhere to AFP policies, procedures and standards for records management
- create, capture and manage full and accurate records of AFP business activities
- manage electronic data in accordance with the AFP National Guideline on Information Technology (IT) Security
- destroy records only in line with an authorised disposal authority or through the application of normal administrative practice, as defined in this guideline and the AFP Practical Guide on records disposal using Normal Administrative Practice (NAP).

7.5 Information Communications and Technology Services

Information Communications and Technology Services must:

- include records management requirements in the systems development life cycle of new AFP systems
- manage data stored in the Records Management module in PROMIS.

7.6 AFP Records Management

The AFP Records Management must ensure:

- records are managed in accordance with the legislation in AFP Records Management module of PROMIS
- records regardless of format are adequately registered and classified in a recordkeeping system
- records are managed to comply with the Protective Security Manual
- records are appropriately and accurately sentenced and disposed of in accordance with Disposal Authority issued by the National Archives of Australia.

8. Policy

The AFP is committed to good record-keeping practices by all appointees to ensure business activity is supported by useable and reliable records. This contributes to the efficiency and accountability of the AFP and in turn minimises business risk by ensuring that the right records are created, kept and used.

As creators and custodians of information as a national resource, the AFP will work with the Office of Australian Information Commissioner (OAIC) to meet government policy expectations and legislative obligations

The new OAIC has been created to bring together three functions:

- **freedom of information** functions, in particular, oversight of the operation of the *Freedom of Information Act 1982* (Cth) and review of decisions made by agencies and ministers under that Act (see the Freedom of information section of this site)
- **privacy** functions, conferred by the *Privacy Act 1988* (Cth) and other laws
- **government information policy** functions, conferred on the Australian Information Commissioner under the *Australian Information Commissioner Act* (Cth).

9. Legislation and standards

Many Acts contain general and/or specific record-keeping obligations for the AFP and its appointees. Some of those obligations are contained in:

- *Archives Act 1983* (Cth)
- *Australian Federal Police Act 1979* (Cth)
- *Australian Information Commissioner Act 2010* (Cth)
- *Bail Act 1992* (ACT)
- *Coroners Act 1997* (ACT)
- *Crimes Act 1914* (Cth)
- *Crimes Act 1900* (ACT)
- *Crimes (Forensic Procedures) Act 2000* (ACT)
- *Evidence Act 1995* (Cth)
- *Evidence Act 1971* (ACT)
- *Electronic Transactions Act 1999* (Cth)
- *Freedom of Information Act 1982* (Cth)
- *Freedom of Information Act 1989* (ACT)
- *Freedom of Information Amendment (Reform) Act 2010* (Cth)
- *Privacy Act 1988* (Cth)
- *Telecommunications (Interception) Act 1979* (Cth)
- *Firearms Act 1996* (ACT)
- *Prohibited Weapons Act 1996* (ACT)
- *Victims of Crime Act 1994* (ACT)
- *Witness Protection Act 1994* (Cth)
- *Witness Protection Act 1996* (ACT)
- *Road Transport (Alcohol and Drugs) Act 1977* (ACT).

The AFP also adopts standards for record management, including:

- AS ISO 15489.2:2002 Records management—Guidelines
- AS/NZS 2299.1:2007 Occupational diving operations
- AS/NZS 4308:2008 Procedures for specimen collection and the detection and quantitation of drugs of abuse in urine
- ISO 9001:2008 Quality management system—Requirements
- ISO 17025:2005 General requirements for the competence of testing calibration laboratories
- Commonwealth Protective Security Manual
- Australian Government Information and Communications Technology Security Manual (ASCI 33).

10. Managing records

AFP personnel, contractors and consultants must:

- create, capture and store official AFP records so that they can be readily and easily retrieved for re-use, or as evidence of decision making within the AFP
- manage records in accordance with the requirements of this guideline and the Protective Security Manual, including action to:
  - protect official records
  - assign security classifications
  - store records
  - observe the security aspects of office management.

11. Registration and storage of records

AFP personnel, contractors and consultants must register official AFP records in designated record-keeping system which is PROMIS Records Management module.

AFP corporate drives are electronic storage facilities and not electronic record-keeping systems. They do not contain record-keeping functionality to ensure records will be captured and maintained with the necessary levels of security, integrity and authenticity. Hard copy file should be created to ensure compliance with this guideline. Official AFP records in electronic form must not be stored on personal 'G:' or 'J:' drives.

12. Retention and disposal of records

Records must be retained for the periods, and in the manner, set down by relevant legislation, regulations, guidelines, and disposal authorities schedules issued by the National Archives of Australia.

Records must not be destroyed unless the destruction is:

- authorised by an appropriate disposal authority issued by the National Archives of Australia, or by the provisions of relevant legislation
- in line with the AFP Practical Guide on records disposal using Normal Administrative Practice (NAP)
- approved by the original owner of the record(s) (where this is required and appropriate)
- performed on an exact duplicate of the original used only for reference (e.g. copies of minutes of a meeting, all-staff emails etc.).

Destroying and disposing of records must be documented in PROMIS Records Management module. Records of the destruction must be retained permanently as national archives.

Unauthorised deletion of records is an unlawful destruction of records, unless authorised in the manner outlined above.

Destroying records must:

- comply with Part C (Information Security) of the Protective Security Manual
- be secure and environmentally sound
- comply with legislation and guidelines, including those of the National Archives of Australia.

13. Release of records

Official AFP records must not be released outside the AFP except in accordance with Commonwealth law, AFP policies and procedures and the:

- AFP National Guideline on the disclosure of information and/or
- AFP Practical Guide on disclosing information for private and professional purposes.

If security classified information is wrongly released, members should also note the:

s22

14. Record security

Official AFP records must be managed and controlled according to:

- Commonwealth laws
- Commonwealth Protective Security Manual
- Australian Government Information and Communications Technology Security Manual (ASCI 33)
- AFP internal policies and procedures, including those in the:
  - AFP National Guideline on information management
  - AFP National Guideline on Information Technology (IT) Security
  - AFP National Guideline on the use of Information and Communications Technology
  - AFP National Guideline on notebooks, diaries and fieldbooks
  - AFP National Guideline on the use of removable data storage devices
  - AFP Practical Guide on the security classification of information.

15. Further advice

Any queries relevant to the content of this guideline should be referred to the team leader of AFP Records Management (telephone 163047 or email rmu-helpdesk@afp.gov.au).

16. References

Legislation

- *Archives Act 1983* (Cth)
- *Australian Federal Police Act 1979* (Cth)
- *Australian Information Commissioner Act 2010* (Cth)
- *Bail Act 1992* (ACT)
- *Coroners Act 1997* (ACT)
- *Crimes (Forensic Procedures) Act 2000* (ACT)
- *Crimes Act 1900* (ACT)
- *Crimes Act 1914* (Cth)
- *Electronic Transactions Act 1999* (Cth)
- *Evidence Act 1971* (ACT)
- *Evidence Act 1995* (Cth)
- *Firearms Act 1996* (ACT)
- *Freedom of Information Act 1982* (Cth)
- *Freedom of Information Act 1989* (ACT)

- *Freedom of Information Amendment (Reform) Act 2010* (Cth)
- *Road Transport (Alcohol and Drugs) Act 1977 (ACT)*
- *Privacy Act 1988* (Cth)
- *Prohibited Weapons Act 1996* (ACT)
- *Telecommunications (Interception) Act 1979* (Cth)
- *Victims of Crime Act 1994* (ACT)
- *Witness Protection Act 1994* (Cth)
- *Witness Protection Act 1996* (ACT).

Governance instruments

- AFP National Guideline on the use of Information and Communications Technology
- AFP National Guideline on information management
- AFP National Guideline on Information Technology (IT) Security
- AFP Practical Guide on records disposal using Normal Administrative Practice (NAP)
- AFP National Guideline on notebooks, diaries and fieldbooks
- AFP National Guideline on the disclosure of information
- AFP Practical Guide on disclosing information for private and professional purposes
- AFP National Guideline on the Security Incident Reporting Scheme
- AFP National Guideline on the use of removable data storage devices
- AFP Practical Guide on the security classification of information
- Information Policy.

Standards

- AS ISO 15489.2:2002 Records management—guidelines
- AS/NZS 2299.1:2007 Occupational Diving Operations
- AS/NZS 4308:2008 Procedures for specimen collection and the detection and quantitation of drugs of abuse in urine
- Australian Government Information and Communications Technology Security Manual (ASCI 33)
- ISO 17025:2005 General requirements for the competence of testing calibration laboratories
- ISO 9001:2008 Quality management system requirements
- Commonwealth Protective Security Manual.