



## Records Management Program 2020 Authority

I, Tom Duncan, Clerk of the Legislative Assembly, in accordance with section 16 of the *Territory Records Act 2002*:

1. authorise the Records Management Program 2020 for the Office of the Legislative Assembly (the Program);
2. certify that the Program addresses all elements contained within section 16 of the *Territory Records Act 2002*; and
3. certify that the Program meets all the requirements set out in the Standard for Records, Information and Data released by the Director of Territory Records.

This Records Management Program provides a framework to ensure records, information and data management requirements are met. The records, information and data management framework comprises the:

- Records Management Program 2020;
- Records, Information and Data Management Policy 2020;
- Records, Information and Data Management Procedures 2020;
- Records, Information and Data Architecture Register 2020 for business systems;
- Records Business Continuity and Disaster Recovery Plan 2020; and
- OLARIS Help Cards, User Guides, Tips of the Month and Cheat Sheets.

I authorise the appropriate resourcing of the Records Management Program 2020, which includes the:

- promulgation of this Records Management Program and the associated framework to all staff, consultants, contractors, volunteers and outsourced providers;
- appropriate management of records, information and data;
- annual assessment of records, information and data management capabilities; and
- planning for, and continual improvement of, records, information and data management capabilities.

A handwritten signature in dark ink, appearing to be "Tom Duncan".

Tom Duncan

Clerk of the Legislative Assembly

Date: 25 May 2020



**LEGISLATIVE ASSEMBLY**  
FOR THE AUSTRALIAN CAPITAL TERRITORY



**Office of the Legislative Assembly**

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# Records Management Program 2020

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# 1. Introduction

- 1.1. The Territory Records Act 2002 (the Act), obliges the Clerk of the Legislative Assembly of the Australian Capital Territory to ensure that the Office of the Legislative Assembly (the Office) and its staff comply with the Act, through the development, approval and implementation of this Records Management Program (the Program).

# 2. Compliance with the Territory Records Act 2002

- 2.1. This Program addresses all elements set out in section 16 of the Act and meets the requirements set out in the Standard for Records, Information and Data released by the Director of Territory Records.

# 3. Responsible Senior Manager

- 3.1. The Executive Manager, Business Support, is the senior manager responsible for records, information and data management, including the implementation and regular review of this Program. A key responsibility includes ensuring all staff, consultants, contractors, volunteers and outsourced providers comply with the policy and procedures for records, information and data management.

# 4. Relationship with the Director of Territory Records

- 4.1. The Director of Territory Records oversees the administration of the Act, provides an advisory and compliance-monitoring service, may provide reports to the relevant Minister on records, information and data management capabilities, and issues notifiable instruments (standards) that relate to the management of records, information and data.
- 4.2. The Records, Information and Data Procedures 2020, outline the arrangements in place to liaise with the Director of Territory Records for:
- examining the operations of the Program and compliance with the Act;
  - advising on the outsourcing of any aspect of records, information and data management responsibilities;
  - requesting assistance, advice and training in relation to records, information and data management;
  - reporting on compliance with the Act, the Program, and records, information and data management capabilities; and
  - resolving disputes regarding compliance with the Act and the Program.
- 4.3. While the term 'record' has a specific meaning, in practice it can at times be difficult to distinguish between records and other types of information or data. Although the Act only applies to records, its principles can be applied to all Office information and data holdings.

## 5. Records management guiding principles

- 5.1. The seven guiding principles of the Standard for Records, Information and Data establishes the requirements for effective records, information and data management. It is designed to assist the Office to meet its legislative responsibilities in accordance with the Act. To achieve this, the following principles apply:

### Strategic framework for records, information and data (Strategy Principle)

- 5.2. The Office must establish strategic documentation to achieve a robust state of records, information and data management.
- 5.3. These documents will include:
- Records Management Program (this document);
  - Records, Information and Data Management Policy 2020;
  - Records, Information and Data Management Procedures 2020;
  - Records, Information and Data Architecture Register 2020; and
  - Records Business Continuity and Disaster Recovery Plan 2020.

### Capability assessment and maturity development (Capability Principle)

- 5.4. The Office reports annually on the records, information and data management capabilities in the Office's annual report as defined by section 7 of the Annual Reports Act 2004.
- 5.5. The Office's Strategic Plan for 2018-2021 outlines the Office's commitment to innovations to improvement planning, communication and training.

### Creating and managing full and accurate records (Assess Principle)

- 5.6. The Office works with the Territory Records Office (TRO) to develop records disposal schedules that identify the records the Office must create and capture to keep full and accurate records of its activities. The Office is committed to the development and management of records that are accountable, consistent, objective, comprehensive, contextualised and documented.
- 5.7. Requirements to create records of the Office's activities are contained in the following specific procedures:
- Records, Information and Data Management Procedures 2020;
  - OLARIS Help Cards, User Guides, Tips of the Month and Cheat Sheets; and
  - File Management Plans (FMPs).
- 5.8. The business systems used by the Office are identified in the Records, Information and Data Architecture Register 2020.

## Metadata management (Describe Principle)

- 5.9. The Office implements the recordkeeping metadata standards endorsed by the TRO. The Office uses the Whole of Government Recordkeeping Thesaurus to classify its records, information and data according to the business functions and activities they represent. Requirements to capture metadata for the Office's records are contained in the following specific procedures:
- Records, Information and Data Management Procedures 2020;
  - OLARIS Help Cards, User Guides, Tips of the Month and Cheat Sheets; and
  - File Management Plans (FMPs)
- 5.10. The Office will document metadata requirements for business systems that contain records which have been identified in systems and file management plans and manuals, data dictionaries and other systems documentation. This includes arrangements for the ongoing preservation and management of recordkeeping metadata.

## Protecting records, information and data (Protect Principle)

- 5.11. Arrangements are in place to protect records, information and data. This includes ensuring the continued access to records, information and data for as long as they are required to be kept in accordance with the Act (as defined by records disposal authorities). This includes the identification of endorsed locations for records storage, both in hard copy and digital form.
- 5.12. All consultants, contractors, volunteers and outsourced providers are required to provide any documentation in their custody to their Office liaison, or if they have OLARIS access to register any records themselves. All assets in their possession must be returned or managed in accordance with the Act and Office policy and contractual agreements.
- 5.13. Instructions to staff and others on how to protect the Office's records, information and data are contained in the following documents:
- Records, Information and Data Management Procedures 2019;
  - File Management Plans (FMPs);
  - Records Business Continuity & Disaster Recovery Plan 2019;
  - DLM Training PowerPoint Information;
  - OLARIS Help Cards, User Guides, Tips of the Month and Cheat Sheets and
  - Information Handling and Security Policy.

## Records disposal arrangements (Retain Principle)

- 5.14. All Records Disposal Schedules as approved by the Director of Territory Records are notified on the ACT Government Legislation Register.
- 5.15. The following Records Disposal Schedules are authorised for use in the Office:

Schedule Name	Date Effective	Instrument No
Arts & Cultural Development	18 June 2004	<a href="#">NI2004-179</a>
Finance & Treasury Management	27 February 2017	<a href="#">NI2017-83</a>
Government & Stakeholder Relations	27 February 2017	<a href="#">NI2017-84</a>
Human Resources	27 February 2017	<a href="#">NI2017-79</a>
Information & Communications Technology	27 February 2017	<a href="#">NI2017-85</a>
Legislative Assembly Secretariat Records	18 June 2004	<a href="#">NI2004-177</a>
Property Equipment & Fleet	27 February 2017	<a href="#">NI2017-86</a>
Records & Information Management	27 February 2017	<a href="#">NI2017-97</a>
Solicitor & Legal Services	27 February 2017	<a href="#">NI2017-88</a>
Strategy & Governance	27 February 2017	<a href="#">NI2017-89</a>
Preserving records containing information that may allow people to establish links with their Aboriginal and Torres Strait Islander heritage	25 March 2011	<a href="#">NI2011-162</a>
Protection of Records Relevant to Cornwell-type Superannuation Claims	15 July 2016	<a href="#">NI2016-378</a>
Protection of records relevant to the Royal Commission into Institutional Responses to Child Sexual Abuse	27 August 2019	<a href="#">NI2019-543</a>
Protection of records relevant to the Royal Commission into Aged Care Quality and Safety	27 August 2019	<a href="#">NI2019-546</a>
Protection of records relevant to the Royal Commission into Violence, Abuse, Neglect and Exploitation of People with Disability	27 August 2019	<a href="#">NI2019-542</a>
Source Records	25 March 2011	<a href="#">NI2011-170</a>

- 5.16. Records may only be destroyed in accordance with one of these schedules or the Office's accepted normal administrative practice. Normal administrative practice for the Office is defined in the [Records, Information and Data Procedures 2020](#) (the Procedures). These Procedures also outline additional arrangements in place to protect records, information and data that may allow people to establish links with their Aboriginal or Torres Strait Islander heritage, and for records, information and data that are to be retained in perpetuity for cultural and historical purposes.



- 5.17. Once a record has passed its legal retention period, destruction can only occur once written approval has been sought and given by the Records and Information Manager, the senior manager of a business unit, the Clerk and the TRO.

## **Public access to records, information and data (Access Principle)**

- 5.18. Arrangements are outlined in the Records, Information and Data Procedures 2020 to provide public access to records, information and data under the authority of the Act. These arrangements also allow for the exemption of certain information, data and record assets, and the regular review of the exemption (as defined by section 28 of the Act). The organisation's arrangements for providing public access to records, information and data are contained in the following documents:

- Section 28 Exemption Register
- Records, Information and Data Management Procedures 2020.

## **6. Implementation, compliance and reporting**

- 6.1. The implementation of this Program will be conducted through training, strategic communications and the suite of supporting documentation.
- 6.2. To monitor compliance with the Program, performance measures for records, information and data management activities have been established and include:
- records, information and data are created or captured in a full and accurate way and in endorsed locations;
  - records, information and data are appropriately managed for as long as required;
  - metadata requirements are implemented; and
  - capability improvement measures are planned and implemented.
- 6.3. Bi-annual reports on records, information and data management activities are provided to the Executive Management Committee by the Records and Information Manager.

## **7. Availability for public inspection**

- 7.1. Arrangements are outlined in the Procedures, are in place to ensure this Records Management Program is available for inspection by the public free of charge. A copy of the Program will also be published on the Legislative Assembly website.

## 8. Review

- 8.1. A review of this Program will be undertaken at least every five years from last date of review, or as required. Reviews may result in the replacement or amendment of this Records Management Program.
- 8.2. The next review date 2025.



Tom Duncan  
Clerk of the Legislative Assembly

28 May 2020



Michele Walters  
Records and Information Manager

25 May 2020