RECORDS AND INFORMATION MANAGEMENT PROGRAM

2014
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1. Authority

1.1 Program Approval

OLA’s Records and Information Management Program is hereby approved in accordance with section 17 of the Territory Records Act 2002. In providing this approval, I am satisfied that:

- the program complies with the approved standards and codes (see 4 External);
- the Director of Territory Records has approved a schedule for the disposal of records for the agency Records Disposal Schedule - Legislative Assembly Secretariat Records NI2004-177;
- the program includes arrangements mentioned in section 16(2) of the Territory Records Act 2002 (see 5.6.1 Monitor).

Tom Duncan
Clerk of the Legislative Assembly for the ACT

Date: 29 October 2014

2. Program Details

2.1 Control

<table>
<thead>
<tr>
<th>Effective Date:</th>
<th>3 November 2014</th>
</tr>
</thead>
<tbody>
<tr>
<td>Reviewer:</td>
<td>Records and Information Manager</td>
</tr>
<tr>
<td>Review Date:</td>
<td>3 November 2019</td>
</tr>
<tr>
<td>Approval Authority:</td>
<td>Clerk of the Legislative Assembly for the ACT</td>
</tr>
<tr>
<td>Approval Date:</td>
<td>29 October 2014</td>
</tr>
<tr>
<td>Enquiries Contact:</td>
<td>Records and Information Manager (x52088)</td>
</tr>
<tr>
<td>Director Contact:</td>
<td>Director, Hansard Technology and Library (x50126)</td>
</tr>
</tbody>
</table>

2.2 Review

OLA’s Records and Information Management Program elements will be reviewed as follows.

<table>
<thead>
<tr>
<th>Item</th>
<th>Date Implemented</th>
<th>Review Due Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>Policy</td>
<td>1 July 2014</td>
<td>1 July 2019</td>
</tr>
<tr>
<td>Procedures</td>
<td>1 July 2014</td>
<td>1 July 2019</td>
</tr>
<tr>
<td>Business Continuity and</td>
<td>17 October 2014</td>
<td>17 October 2019</td>
</tr>
<tr>
<td>Disaster Recovery Plan</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

NB: Any changes that affect any element of the program will prompt an earlier review.
3. Overview

3.1 Introduction

OLA’s current program was approved by the Clerk of the Assembly in May 2012 and was not due for review until May 2017. However, in September 2012 OLARIS (Office of the Legislative Assembly Records and Information System) was implemented to capture digital records. This significantly changed a majority of program elements, prompting an earlier review.

3.2 Purpose

The purpose of this document is to:

- detail all element of OLA’s Records and Information Management Program;
- formally submit the program to the Director of Territory Records; and
- provide as a tool to assist all levels of staff in understanding their recordkeeping obligations and OLA’s role in achieving compliance with the **Territory Records Act 2002**.

3.3 Framework

The below framework demonstrates the structure utilised in the development of OLA’s program, and this document.
3.4 Lifecycle

The below diagram demonstrates OLA’s records and information management lifecycle which was utilised in the development of the Procedures.

4. External

The external label used in the program framework has been applied to the following sections to demonstrate that these elements of the program are externally driven and therefore non-negotiable requirements that OLA must comply with.

4.1 Legislation

The main legislation governing records is the Territory Records Act 2002.

There is also a wide range of other legislation and subordinate laws relating to OLA’s business, which controls how records and information is created and managed. Such as:

- Electronic Transactions Act 2001
- Evidence Act 2011
- Financial Management Act 1996
- Freedom of Information Act 1989
- Legislative Assembly (Broadcasting) Act 2001
- Legislative Assembly (Office of the Legislative Assembly) Act 2012
Parliamentary Privileges Act 1997
Remuneration Tribunal Act 1995
Work Health and Safety Act 2011
Workers Compensation Act 1951
Workplace Privacy Act 2011

**NB:** For further information regarding associated legislations and their relationship to records and information management, contact the Records and Information Manager.

4.2 Standards

The standards that assist OLA in legislation compliance are as follows:

- Australian Standard for Records Management (AS ISO 15489-2002); and
- the following 9 standards created and governed by the Territory Records Office:
  1. Records Management Programs
  2. Appraisal
  3. Records Description and Control
  4. Access
  5. Recordkeeping and Outsourced Government Business
  6. Digital Records
  7. Physical Storage of Records
  8. Business Continuity and Records Management
  9. Records Digitisation and Conversion

**NB:** A copy of the Australian Standard (AS ISO 15489-2002) can be requested through the Legislative Assembly Library.

4.3 Guidelines

The following guidelines have been created by the Territory Records Office to assist agencies in understanding and complying with the standards.

- Records Management Programs
- Appraisal
- Records Description and Control
- Access
- Recordkeeping and Outsourced Government Business
- Digital Records
- Physical Storage of Records
- Business Continuity and Records Management
- Records Digitisation and Conversion
5. Internal

The internal label used in the program framework has been applied to the following sections to demonstrate that these elements of the program have been developed and implemented by OLA to ensure compliance with external requirements is achieved.

5.1 Policy

OLA’s Records and Information Management Policy has been developed to provide staff with direction on what the organisation requires in order to comply with the legislation, standards and guidelines.

The Clerk approved the policy on 24 June 2014.

5.2 Procedures

OLA’s Records and Information Management Procedures have been developed to provide staff with a comprehensive description of what processes are required in order to comply with the policy.

The Clerk approved the procedures on 24 June 2014.

5.3 Planning and Projects

5.3.1 Planning

The following is a list of documents developed in structuring the program, understanding and prioritising compliance areas requiring improvement, and what projects should be undertaken (if any) to improve Records and Information Management within OLA.

- Business Continuity and Disaster Recovery Plan 2014
- Risk Register 2014
- Strategic Plan 2014

5.3.2 Projects

The following is a list of projects conducted on a regular basis, and those identified as one-off projects required to assist staff in meeting their recordkeeping and information management obligations.

- Annual Census (physical file audit)
- Annual Compliance Review
- Asset Register import to OLARIS 2014
- Committees Procedural Register 2014
- Document Production System Replacement (TBC)
- OLARIS (Office of the Legislative Assembly Records and Information System) Upgrade 2014
- Squiz Matrix integration with OLARIS (TBC)
- Workflow implementation (TBA)
5.4 Systems

5.4.1 OLARIS

The main system used by OLA for capture and management of its records and information, is OLARIS. OLARIS uses TRIM as the database and Diem Portal as the user interface.

Access to OLARIS is given to all staff, contractors and consultants upon appointment, and the level of access is determined by the Records and Information Manager in liaison with the relevant area’s Director. This determination is based on the individual’s role and duties within OLA.

5.4.2 Business systems

There are a number of business systems containing information, which when extracted, are OLA records. These are as follows.

- BMS (building management system)
- DPS (document production system)
- Integrity (building access system)
- Micropay (payroll system)
- MYOB (finance system)

It is the responsibility of each user of these business systems to ensure that the information is extracted and placed into OLARIS on a regular basis.

5.5 Tools and Resources

5.5.1 Tools

The following is a list of tools provided and used in OLA to assist staff in managing their records and information.

- Business section intention to destroy records form
- Disaster Recovery Process - Flowchart
- Expenditure Approvals for Workflow - Helpcard
- Invoice Approvals for Workflow - Helpcard
- Legislative Assembly Disposal Schedule
- Missing Records Register
- OLA Business Classification Scheme
- OLA Thesaurus
- Performance Management and Recordkeeping - Helpcard
- Procedure framework
- Program framework
- Information Management Principles
- Records and Information Management Program (this document)
- Records Decision Tree – Received
- Records Decision Tree – Sent or Created
- Records for destruction List template
- Records Salvage Priority List Template
5.5.2 Resources

The following is a list of resources provided and used in OLA to assist staff in managing their records and information.

- Disposable gloves
- File covers
- Labels
- Tube clips
- Type 1 archive boxes
- Type 1.1 acid free archive boxes

5.6 Monitor, Audit and Report

5.6.1 Monitor

OLA’s program is monitored in accordance with section 16 of the Territory Records Act 2002 as follows.

<table>
<thead>
<tr>
<th>Legislative Requirement</th>
<th>OLA Measures</th>
</tr>
</thead>
<tbody>
<tr>
<td>(a) ensuring that the agency complies with the Act and the records management program</td>
<td>• regular audits (5.6.2 Audits)</td>
</tr>
<tr>
<td></td>
<td>• annual census (5.2.3 Projects)</td>
</tr>
<tr>
<td></td>
<td>• annual compliance review (5.2.3 Projects)</td>
</tr>
<tr>
<td></td>
<td>• Records and Information Management Policy (Appendix A)</td>
</tr>
<tr>
<td>(b) establishing normal practices and procedures for the exercise of functions of the</td>
<td>• Records and Information Management Procedures (Appendix B)</td>
</tr>
<tr>
<td>agency in relation to its records (normal administrative practices), including the</td>
<td></td>
</tr>
<tr>
<td>disposal of records</td>
<td></td>
</tr>
<tr>
<td>(c) for telling the director about any arrangements entered into with an entity that is</td>
<td>• Records and Information Management Procedures (Appendix B)</td>
</tr>
<tr>
<td>not an agency to carry out any aspect of its records management</td>
<td>• Quarterly RIMCoP meeting</td>
</tr>
<tr>
<td>(d) under which the director may examine the operation of the records management</td>
<td>• Records and Information Management Procedures (Appendix B)</td>
</tr>
<tr>
<td>program and the agency’s compliance with this Act and the records management program</td>
<td></td>
</tr>
</tbody>
</table>
(e) for the resolution of disputes about whether the agency is complying with this Act or the records management program • Records and Information Management Procedures (Appendix B)

(f) allow the director to report on the agency’s compliance with this Act and the records management program • Records and Information Management Procedures (Appendix B)

(g) allocating resources for the records management program • Records and Information Management Procedures (Appendix A)

(h) proper care of records of the agency, particularly records of archival or enduring value • Records and Information Management Procedures (Appendix B)

(i) preserving records containing information that may allow people to establish links with their Aboriginal or Torres Strait Islander heritage • Records and Information Management Procedures (Appendix B)

(j) regular review of records to which a declaration under section 28 has been made • Records and Information Management Procedures (Appendix B) • Section 28 Exemptions Register (9 Tools)

(k) for review and replacement or amendment of the records management program • Records and Information Management Program (this document, 2.2 Review)

5.6.2 Audit

In addition to the monitoring activities outlined in 5.6.1 Monitor, a number of audit activities are also carried out by the Records and Information Manager to measure compliance of the program, as outlined below.

<table>
<thead>
<tr>
<th>Activity</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Annual census</td>
<td>A census if all physical and hybrid files and boxes onsite are audited to ensure their locations are correctly reflected in OLARIS</td>
</tr>
<tr>
<td>Annual compliance review</td>
<td>Principles of the Territory Records Standards are measured against OLA’s performance</td>
</tr>
<tr>
<td>Profile audits</td>
<td>Locations are audited to ensure only current staff have access to OLARIS as appropriate</td>
</tr>
<tr>
<td>Online audit log</td>
<td>TRIM’s Online audit log is monitored to observe how often contents are viewed and edited, titles are being edited, and locations changed</td>
</tr>
<tr>
<td>Record creation notifications</td>
<td>An email notification of every record is sent to the Records and Information Manager, and then evaluated to ensure the title meets the necessary requirements</td>
</tr>
<tr>
<td>Records Management and OLARIS Training</td>
<td>Regular training is provided during the year to refresh and update skills of existing staff, and for staff new to OLA</td>
</tr>
<tr>
<td>Word Indexes</td>
<td>TRIM’s word indexes are monitored to ensure punctuation and acronyms (other than approved) are not being used, and that the searching function is working sufficiently</td>
</tr>
</tbody>
</table>
5.6.3 Report

Compliance of the program is reported in a number of documents, as listed below.

<table>
<thead>
<tr>
<th>Report</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Annual Report</td>
<td>Significant elements of the program is reported on, as required in the <a href="#">Annual Reports (Government Agencies) Act 2004</a></td>
</tr>
<tr>
<td>Census report</td>
<td>Results of the annual census are reported to the Executive Management Committee with recommendations</td>
</tr>
<tr>
<td>Creation report</td>
<td>A cumulative report is provided to the executive on the volume of each staff member’s containers and contents created since the OLARIS implementation, to ensure it is being used</td>
</tr>
<tr>
<td>Statistical reporting</td>
<td>Volumes of all records created, captured and used are collated in monthly and bi-annual statistical reporting. Many of these statistics are also reported in OLA’s Annual Report</td>
</tr>
</tbody>
</table>

5.7 Education, Training and Support

5.7.1 Education

OLA is committed to ensuring that all staff are educated on practices, processes, and system usage in order to meet their recordkeeping obligations. This includes:

- all staff information sessions;
- business processes and recordkeeping;
- director’s information sessions;
- sessions based on the Information Awareness Month’s annual theme; and
- tour of OLARIS.

5.7.2 Training

Various training programs have been designed to ensure staff receive the appropriate training on records and information management, and usage of OLARIS. These are:

- Introduction to Records and Information Management;
- Introduction to OLARIS;
- Transferring contents in Bulk;
- Security and Access Controls;
- Tags and Sharing in OLARIS;
- Document Management;
- Titling Records; and
- Workflows - Expenditure and Invoice Approvals.

**NB:** New training sessions are developed as needed, and will be in addition to those listed above.
5.7.3 Support

Ongoing support is provided to staff on a regular basis through:

- regular “walk arounds”;
- helpdesk phone calls;
- emails requesting OLARIS advice;
- emails requesting recordkeeping advice;
- “how to” helpcards for workstations; and
- meetings with various work groups.