



ACT
Government

Records, Information and Data Management Program

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AUTHORISATION

In accordance with the *Territory Records Act 2002*, I:

- authorise this Records, Information and Data Management Program;
- certify that this Program addresses all elements contained within section 16 of the *Territory Records Act 2002*; and
- certify that this Program meets all the requirements set out in the *Standard for Records, Information and Data* released by the Director of Territory Records.

I authorise the appropriate resourcing of this Program, which includes but is not limited to the:

- promulgation of this Program to all staff;
- 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.

Mr Ben Ponton

Delegate
Director-General

Date of authorisation: 12 April 2019

INTRODUCTION

PURPOSE

The Environment Planning and Sustainable Development Directorate (EPSDD) understands and acknowledges the importance of, and public value in, the records, information and data that it collects and generates in the course of serving the ACT community. Records, information, and data are vital corporate assets that enable the EPSDD to inform, plan for and achieve outcomes that are relevant and valuable to the community, business and government.

The Directorate is committed to the proper management of its records, information and data in order to uphold its commitments to the community, good governance and to comply with the requirements of the *Territory Records Act 2002* (the Act).

The Records, Information and Data Management Program (the Program) details how the Directorate manages records, information and data to comply with the Act and associated roles and responsibilities of all staff. The Program is publicly available and will be referenced in EPSDD policies and procedures, as appropriate, to ensure its application is widespread and consistent.

SCOPE

This Program and associated policies and procedures apply to all EPSDD staff, including:

- employees;
- EPSDD statutory office holders;
- contractors or subcontractors;
- employees of a contractor or subcontractor;
- employees of a labour hire company;
- outworkers;
- apprentices or trainees;
- work experience participants;
- volunteers; and
- persons of a prescribed class.

This Program applies to all EPSDD records, information and data in both digital and physical forms.

TERRITORY RECORDS ACT

The Act regulates recordkeeping across ACT Government. Its main purposes are to:

- encourage open and accountable government by ensuring that Territory records are made, managed and, if appropriate, preserved in accessible form;
- support the management and operation of Territory agencies;
- preserve Territory records for the benefit of present and future generations; and
- ensure that public access to records is consistent with the principles of the *Freedom of Information Act 2016*.

The Act obliges the Head of Service to ensure the ACT Public Service complies with the Act. The Director-General of EPSDD, as the Head of Service's delegate, has approved this Program and is the responsible officer for ensuring the Directorate complies with the Act.

The Act is administered by the Director of Territory Records. The EPSDD works collaboratively with the Director of Territory Records to ensure arrangements are in place to:

- facilitate assessment of operations of the Program and compliance with the Act;
- seek advice on the outsourcing of any aspect of records, information and data management responsibilities by EPSDD;
- seek assistance, advice and training in relation to records, information and data management;
- report on compliance with the Act, the Program, and records, information and data management capabilities; and
- resolve disputes regarding compliance with the *Territory Records Act 2002* and the Program.

In EPSDD, the Records Manager acts as the liaison with the Territory Records Office and is the senior manager tasked with managing the Program and promoting records, information and data management processes. The Records Manager reports to the Executive Branch Manager, Governance, Compliance and Legal.

HEALTH RECORDS ACT

The Directorate manages health records consistent with the requirements of Health Records legislation. The *Health Records (Privacy and Access) Act 1997* provides for the privacy and integrity of, and access to, personal health information. Personal health information is managed as protected information by the People and Capability branch.

RECORDS, INFORMATION AND DATA MANAGEMENT PRINCIPLES

In accordance with this Program, EPSDD staff must create, manage and keep full and accurate records, information and data in a timely manner which meets:

- business needs;
- government accountability requirements;
- legal obligations;
- community expectations; and
- requirements for historical purposes.

The Territory Records (Records, Information and Data) Standard 2016 (No 1) (the Standard) sets out seven principles for ACT government organisations to promote open and accountable government and ensure records, information and data are managed and preserved in accessible formats to meet business requirements and community expectations.

All staff are required to understand, and comply with, their roles and obligations under each principle.

This program defines managers as all staff with supervisory responsibilities. All managers are required to provide guidance and support to ensure staff understand, and comply with, their roles and obligations under each principle.

PRINCIPLE 1: STRATEGY

Organisations must strategically manage records, information and data by following guidelines for:

- developing and implementing a Records Management Program; and
- developing and promulgating a Records, Information and Data Management Policy and supporting procedures and guidelines.

This means that...

- | | |
|--|---|
| Staff | <ul style="list-style-type: none">• Read, understand and comply with this Program.• Proactively seek guidance on their obligations in relation to records, data and information management through information available via the intranet, their immediate managers and, as appropriate, the Information Management Team. |
| Managers | <ul style="list-style-type: none">• Support EPSDD staff under their supervision to ensure this Program and records, information and data management procedures are understood. |
| Roles with special responsibilities | <ul style="list-style-type: none">• The Records Manager manages and promotes this Program and reports to the Executive Branch Manager, Governance, Compliance and Legal on operations under the Program.• The Executive Branch Manager, Governance, Compliance and Legal oversees the reporting mechanism for records, information and data management and issues statements of compliance to the Director-General.• The Director-General, as the Principle Officer, authorises the Program, and its resourcing and promulgation to ensure the Directorate is |

compliant with the Act.

- The Director-General endorses the Directorate's physical storage facilities for records, information and data and the approved electronic document and record management system, Objective.
- The organisation**
- Adheres to Territory Records Office guidelines for developing a records, information and data management program and associated policies and procedures.

PRINCIPLE 2: CAPABILITY

Organisations must establish and maintain appropriate records, information and data management capabilities by following guidelines for:

- identifying and providing financial, human and other resources for records, information and data management;
- planning for and measuring the performance of records, information and data management activities; and
- reviewing and improving performance to meet the changing requirements of government business.

This means that...

- Staff**
- Participate in training on records, information and data management and business system use.
 - Incorporate records, information and data management into work planning.
- Managers**
- Ensure staff participate in records, information and data management training and proactively identify further or specific training requirements with the Information Management Team.
 - Promote and plan records, information and data management skill development for staff in professional development planning cycles.
 - Incorporate records, data and information management requirements into work planning and task allocation.
- Roles with special responsibilities**
- The Records Manager prepares and submits annual plans to the Executive Branch Manager, Governance, Compliance and Legal, on building capability and maturity in records, information and data management.
 - The Information Management Team considers and identifies opportunities for business improvement in the delivery of the Program.
 - The Information Management and Digital Solutions teams remain current on records, information and data management best practices.
 - The Executive Branch Manager, Governance, Compliance and Legal reports to the Director-General biannually on the Directorate's information governance maturity, compliance and capability to implement the Program.
 - The Executive Branch Manager, Finance, Information and Assets reports to the Director-General biannually on the Directorate's digital capability

to implement the Program.

- The Director-General reports annually to the Director of Territory Records on the Directorate's records, information and data management capabilities.
- The organisation**
- Provides sufficient resourcing to build capability and maturity.
 - Captures records management planning in governance performance analysis and requirements for policy and procedure development.
 - Recognises records, information and data management training as essential training in the induction and learning management programs.
 - Publicly reports on records, information and data management activity in whole-of-Government reporting.
 - Supports improvements in records management compliance identified through delivery of the EPSDD Internal Audit program.

PRINCIPLE 3: ASSESS

Organisations must assess their records, information and data management requirements by following guidelines for:

- establishing processes for identifying the records, information and data they need to create and keep;
- ascertaining the significance of their records, information and data; and
- managing records, information and data in accordance with their significance and other factors.

This means that...

- Staff**
- Create contemporaneous, clear and accurate records of their activities and decision-making in approved record keeping systems.
 - Apply appropriate disposal schedules to records as described in the approved ACT Government Records Disposal Schedules.
 - Proactively seek guidance on their obligations in relation to records, data and information management through information available via the staff intranet, their immediate managers and, as appropriate, the Information Management Team.
 - Use approved ESPDD policy and planning templates.
- Managers**
- Clearly communicate delegated authority and implements risk controls to maintain appropriate and accountable decision-making.
 - Ensure team practices support and demonstrate the use of approved recordkeeping systems and that staff understand obligations to create and keep records, information and data.
 - Lead by good example and use approved recordkeeping systems when communicating with staff in the clearance and consideration of their work.
 - Consult with the Information Management Team about records, information and data management requirements resulting from

- business processes and identify sensitive, high-risk, and protected records, information and data.
- Roles with special responsibilities**
- The Information Management Team identifies high-risk, significant and vital records and recommends protection and management strategies.
 - The Information Management Team conducts quarterly file creation assessments.
- The organisation**
- Identifies the business systems used to create records across the Directorate in the Records, Information and Data Architecture register.
 - Ensures consistency in classifying business processes and sentencing records by using the Whole of Government Recordkeeping Thesaurus.
 - Establishes consistent processes and evidence-based decision-making with planning and policy templates that include clearly defined roles and responsibilities.

PRINCIPLE 4: DESCRIBE

Organisations must deliberately control records, information and data by following guidelines for:

- ensuring appropriate and sufficient descriptive elements are incorporated into the systems managing records, information and data; and
- ensuring the descriptive elements are managed appropriately so the authenticity, usability and reliability of the records, information and data are protected.

This means that...

- Staff**
- Maintain audit trails by ensuring all records, information and data is stored in authorised records management systems.
 - Select appropriate business classification of records in accordance with the ACT Government Thesaurus for function, activity and sensitivity.
 - Understand and adhere to approved naming conventions for files, records, information and data.
 - Proactively seek guidance on their obligations in relation to records, data and information management through information available via the staff intranet, their immediate managers and, as appropriate, the Information Management Team.
- Managers**
- Reinforce staff obligations and ensure staff understand their responsibility to apply naming conventions for files, records, information and data.
 - Regularly test internal team processes to ensure adherence to requirements for appropriate classification of records.
- Roles with special responsibilities**
- Digital Solutions maintains the Records, Information and Data Architecture register which includes business classifications of ICT business systems.
 - Digital Solutions develops information management plans for older business systems that do not meet metadata requirements.
 - The Information Management Team ensures procedures which adhere to Territory Records Office advice are in place to capture, protect and

manage meaningful metadata for EPSDD records.

- The Information Management Team assesses the risk of records, information and data held in unstructured environments such as Outlook and shared network drives.
- Uses the Whole of Government Recordkeeping Thesaurus to classify its records, information and data.
- Uses a recordkeeping system that is compliant with the Act and introduces adequate control measures and ensures full audit trail functionality.
- Maintains metadata that registers the existence of records authorised for disposal in perpetuity.

PRINCIPLE 5: PROTECT

Organisations must manage the appropriate storage and preservation of records, information and data by following guidelines for:

- identifying their records, information and data protection requirements; and
- ensuring appropriate protection measures are in place.

This means that...

- Staff**
 - Protect records, information and data in their custody to ensure the information assets are returned or managed in accordance with the Act.
 - Adhere to the following policies and standard operating procedures related to the protection of EPSDD records:
 - EPSDD Information Security: Permissions Policy;
 - EPSDD Records, Information and Data Management standard operating procedures;
 - EPSDD ICT Business Continuity and Disaster Recovery Plan;
 - ACT Cabinet Handbook; and
 - ACT Protective Security Policy Framework.
- Managers**
 - Reinforce staff obligations and promote robust records, information and data management.
 - Ensure staff understand their obligations to appropriately protect records, information and data.
 - Notify designated business system owners of any records, information and data requiring protection and, where this is due to a conflict of interest, the People and Capability team.
 - Implement measures to protect against unauthorised destruction or alteration of records, information and data.
- Roles with special responsibilities**
 - Digital Solutions monitors and maps system access requirements.
 - The Information Management Team provides guidance on information management security and storage.
 - The Information Management Team identifies and recommends

approved locations for records storage in both digital and non-digital form.

- The Information Management Team works with the Territory Records Office to ensure archives are stored in high-quality environments.
 - The Information Management Team reports information assets with archival value to the Territory Records Office. The Executive Branch Manager, Finance, Information and Assets, ensures third-party storage contracts are aligned with ACT Government requirements and stipulate that records, data and information is managed in accordance with security, privacy, retention, destruction requirements of standards, principles and legislation.
- The organisation**
- Protects and manages records, information and data in accordance with legislation and Whole-of-Government policy.
 - Stores unsentenced records on ACT Government premises.
 - Applies technical and records management expertise and careful planning for records, data and information digitisation and migration.

PRINCIPLE 6: RETAIN

Organisations must identify the retention requirements of records, information and data by following guidelines for:

- assessing which of their records, information and data must be retained in perpetuity;
- assessing which of their records, information and data are eligible for destruction; and
- ensuring destruction of records, information and data is managed appropriately, in accordance with legislative and security requirements.

This means that...

- Staff**
- Only dispose of records, information and data with appropriate approval and in accordance with relevant policies and procedures.
 - Refer to the staff intranet and the Information Management Team for guidance on complying with records, data and information management requirements.
- Managers**
- Reinforce staff obligations and lead by good example.
- Roles with special responsibilities**
- The Information Management Team provides guidance on preservation and disposal of records, data and information.
 - The Information Management Team centralises documentation of decisions to dispose of records, information and data and their associated schedule and classification.
 - The Information Management Team monitors record disposal freezes.
- The organisation**
- Ensures arrangements are in place to identify and 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.
 - Maintains documentation of sentencing decisions in metadata and

Objective.

- Reviews Records Disposal Schedules annually.
- Seeks approval of the ACT Director of Territory Records for the transfer of possession/ownership of records, information and data.
- Publishes Records Disposal Schedules online as part of the Director of Territory Records' Annexed report to the Chief Minister, Treasury and Economic Development Directorate's Annual Report at:
www.cmd.act.gov.au/functions/publications

PRINCIPLE 7: ACCESS

Organisations must support the access to and openness of records, information and data by following guidelines for:

- encouraging openness of records, information and data;
- ensuring records, information and data can be found, accessed, used and reused when appropriate; and
- enabling appropriate public access.

This means that...

- | | |
|--|--|
| Staff | <ul style="list-style-type: none">• Store clearly described records, information and data in Objective or another approved business system.• Comply with the EPSDD <i>Information Security – Permissions Policy</i> and business system permission plans.• Adhere to EPSDD's arrangements for providing public access to records, information and data, including:<ul style="list-style-type: none">• the EPSDD Records, Information and Data Management Program;• access exemption registers which identify information unable to be released; and• EPSDD processes for meeting obligations under Freedom of information legislation. |
| Managers | <ul style="list-style-type: none">• Work with the Information Management Team to improve identification and accessibility of records, information and data. |
| Roles with special responsibilities | <ul style="list-style-type: none">• The Information Management Team coordinates public access requests under the <i>Freedom of Information Act 2016</i> and <i>Territory Records Act 2002</i>.• The People and Capability and Information Management teams coordinate information access under the <i>Information Privacy Act 2014</i>.• The Information Management Team maintains a register of records, under section 30 of the <i>Territory Records Act 2002</i>. |
| The organisation | <ul style="list-style-type: none">• Creates a culture of openness by proactively disclosing government information under the Open Access Information Scheme.• Assists the Territory Records Office to support and promote access to Territory archives.• Monitors and appropriately manages business system access |

permissions.

PROGRAM DELIVERY

IMPLEMENTATION, COMPLIANCE AND REPORTING

Management, led by the executive, models and champions compliance activities.

The Information Management Team is to coordinate and deliver training sessions to assist in the implementation of this Program. Consistent with EPSDD’s commitment to embedding a culture of continuous improvement, the Information Management Team will monitor compliance with this Program.

Biannual reports on records, information and data management activities must be provided to the EPSDD governing executive committees by the Executive Branch Manager, Governance, Compliance and Legal and Executive Branch Manager, Finance, Information and Assets.

Quarterly reports on records, information and data management activities are provided to the Executive Branch Manager, Governance, Compliance and Legal by the Records Manager or more frequently by exception. Reporting is to include capability improvement measures that are planned and implemented.

AVAILABILITY FOR PUBLIC INSPECTION

This Program is identified as open access information under the *Freedom of Information Act 2016* and is to remain available for inspection by the public free of charge. Under the Open Access Information Scheme, this Program will be published online.

REVIEW

A review of this Program and the register of records, required by section 30 of the *Territory Records Act 2002*, will be undertaken by the Records Manager at least every three years or earlier as required. Reviews may result in the replacement or amendment of this Program.

Recommendations for Program replacement or amendment will be presented to the EPSDD Audit Committee and EPSDD governing executive committees prior to seeking Director-General agreement.

VERSION HISTORY

The following table details the published date and amendment details for this document.

Version	Date	Amendment details
1.0	Date of endorsement	First publication of this program

APPENDICES

APPENDIX I – ROLES AND RESPONSIBILITIES

Role or Position or Business Area	Responsibility
All staff (including statutory office holders)	All staff have an obligation to comply with this Program and associated policies and procedures.
Management (executives and senior managers)	All managers and executives have a responsibility to implement this Program and associated policies and procedures and promote better records management practices in EPSDD.
Delegate of the Principal Officer (Head of Service) – Director-General	Under section 13 of the Act, the principal officer of an agency must ensure that the agency complies with the Act in relation to its records – this includes having in place an approved records management program.
Responsible Executive (Compliance) - Executive Branch Manager, Governance, Compliance and Legal	<p>The Responsible Executive (Compliance) must ensure that robust records, information and data management policies, procedures and operational guidance (including training) are developed and implemented across the Directorate.</p> <p>The Responsible Executive (Compliance) directs implementation and regular review of this Program and associated policies and procedures.</p>
Responsible Executive (ICT) - Executive Branch Manager, Finance, Information and Assets / Chief Information Officer	<p>The Responsible Executive (ICT) must ensure that robust digital capability and ICT policies, procedures and operational guidance (including training) are developed and implemented across the Directorate.</p> <p>The Responsible Executive (ICT) directs implementation and regular review of digital capabilities and ICT policy and procedures associated with this Program.</p>
Records Manager	<p>The Records Manager is the senior manager tasked with managing the Program for the ESPDD under the Responsible Executive (Compliance).</p> <p>The Records Manager’s responsibilities include monitoring and reviewing the Program, improving agency compliance through the development of policy and procedures and enhancing staff education of compliance requirements. The Records Manager is the liaison officer to the Director, Territory Records Office and represents the Directorate at whole-of-government committees.</p>
Digital Solutions	<p>The Digital Solutions Team supports the agency under the Responsible Executive (ICT) and is responsible for the delivery/coordination of ICT operations such as infrastructure, system application and technical support, and digital project management.</p> <p>Digital Solutions is the liaison point for Shared Services ICT and provides representation at whole-of-Government ICT fora.</p>
Information Management Team within Governance, Compliance and Legal	The Information Management Team supports the agency, under the Records Manager, to achieve compliance under the Program and improve records, information and data management.

APPENDIX II – LEGISLATION, POLICIES AND PROCEDURES

<p>Whole of Government</p>	<p><u>Annual Reports (Government Agencies) Act 2004</u></p> <p><u>Evidence Act 2011</u></p> <p><u>Financial Management Act 1996</u></p> <p><u>Freedom of Information Act 2016</u></p> <p><u>Government Procurement Act 2001</u></p> <p><u>Health Records (Privacy and Access) Act 1997</u></p> <p><u>Information Privacy Act 2014</u></p> <p><u>Public Interest Disclosure Act 2012</u></p> <p><u>Public Sector Management Act 1994</u></p> <p><u>Territory Records Act 2002</u></p> <p><u>Territory Records (Records, Information and Data) Standard 2016 (No 1)</u></p> <p><u>ACT Cabinet Handbook</u></p> <p>ACT Protective Security Policy Framework</p>
<p>Environment, Planning and Sustainable Development Directorate</p>	<p>Information Security: Permissions Policy</p> <p>Records, Information and Data Management Standard Operating Procedure</p> <p>ICT Business Continuity and Disaster Recovery Plan</p>