



RECORDS MANAGEMENT PROGRAM (RMP) FOR THE EDUCATION DIRECTORATE

November 2020
ACT Government

EDUCATION DIRECTORATE – RECORDS MANAGEMENT PROGRAM

Authorisation

In accordance with the *Territory Records Act 2002* (the Act), and as Principal Officer (Director-General) of the Education Directorate (the Directorate), I

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

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

The Program's framework includes:

- *Territory Records Act 2002*
- *Standard for Records, Information and Data* released by the Director of Territory Records
- Other applicable legislation and standards
- other applicable policies
- other administrative directions of the ACT Government and broader ACT Public Service
- Records Management Program (this document)
- Records, information and data management:
 - Policy
 - Procedures
 - Architecture register for business systems.

This Program and associated policies and information apply to the Directorate as well as the Office of the Board of Senior Secondary Studies and outsourced providers tasked with providing services for the organisation.

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The Records, Information and Data Management Policy is located at:

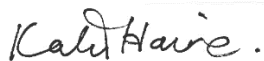
www.education.act.gov.au

The Records, Information and Data Management Procedures are located at:

www.education.act.gov.au

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

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



Katy Haire

Director-General (Principal Officer)

Education Directorate

Date: 15 January 2021

Records Management Program

Introduction

The *Territory Records Act 2002* (the Act) obliges the Director General, as Principal Officer of the Education Directorate (the Directorate), to ensure the organisation and its staff comply with the Act including through the development, approval and implementation of this Records Management Program.

Compliance with the Territory Records Act 2002

This Records Management Program addresses all elements set out in section 16 of the *Territory Records Act 2002* and meets the requirements set out in the *Standard for Records, Information and Data* released by the Director of Territory Records.

Responsible Senior Manager

The Executive Branch Manager, Digital Strategy, Services and Transformation (EBM-DSST) is the Executive in charge of records, information and data management, including the implementation and regular review of this Program. A key responsibility includes ensuring all staff, volunteers, consultants, contractors and outsourced providers comply with the policy and procedures for records, information and data management.

Relationship with the Director of Territory Records

The Director of Territory Records oversees the administration of the *Territory Records Act 2002*, 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.

Therefore, arrangements are in place to liaise with the Director of Territory Records for:

- examining the operations of the Records Management Program and compliance with the *Territory Records Act 2002*;
- 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 *Territory Records Act 2002*, the Records Management Program, and records, information and data management capabilities; and
- resolving disputes regarding compliance with the *Territory Records Act 2002* and the Records Management Program.

Establishment of framework (Strategy Principle)

This Records Management Program provides a framework to ensure records, information and data management requirements are met by strategically managing records, information and data through developing and promulgating:

- a Records Management Program (this document);
- a Records, Information and Data Management Policy and
- supporting procedures overview that outlines how the directorate complies with the Territory Records (Records, Information and Data) Standard 2016.

Capability Assessment and Maturity Development (Capability Principle)

The Principal Officer, in association with the Executive Branch Manager, Digital Strategy, Services and Transformation, will report annually to the Executive Branch Manager and Director of Territory Records on its records, information and data management capabilities using the ACTPS Records Management Maturity Model and Checklist Tool provided by the Territory Records Office (TRO) or as required by TRO Annual Report Directions.

Annual plans are developed and implemented to build capability-maturity that can include improvement planning, communication and training.

Creating and managing full and accurate records (Assess Principle)

The Directorate works with the Territory Records Office to develop Records Disposal Schedules that identify records the Directorate must create in order to make and keep full and accurate records of its activities. The Directorate is committed to processes for identifying its records and their significance that are accountable, consistent, objective, comprehensive, contextualised and documented.

Requirements to create records of the Directorate's activities are contained in standing operating procedures for its business activities, in business systems manuals and in the following specific procedures:

- Advice to staff on 'What is a Record?', including treatment of personal versus official records; and
- Recordkeeping procedures.

The business systems in use in the Directorate that create records are identified in the Records, Information and Data Architecture Register.

Metadata Management (Describe Principle)

The Directorate complies with recordkeeping metadata standards endorsed by the Territory Records Office. The Directorate uses the Whole of Government Recordkeeping Thesaurus to classify its records, information and data according to the business functions and activities. Requirements to capture metadata for Directorate records are contained in standard operating procedures for its business activities, in business systems manuals and in the following procedures:

- Business systems, establishing how the Directorate ensures records, information and data in are managed and maintained in business systems
- Metadata, outlining how Directorate employees apply sufficient and accurate metadata

Metadata requirements for business systems that contain records have been identified in system management plans and manuals, data dictionaries and other systems documentation as documented in the Directorate's Records, Information and Data Architecture Register. This includes arrangements for the ongoing preservation and management of recordkeeping metadata.

Protecting Records, Information and Data (Protect Principle)

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 *Territory Records Act 2002* (as defined by records disposal authorities). This includes the identification of endorsed locations for records storage, both in hard copy and digital form.

Arrangements are in place to protect records, information and data in the custody of volunteers, consultants, contractors and outsourced providers to ensure the assets are returned or managed in accordance with the *Territory Records Act 2002*.

Instructions to staff and others on how to protect the Directorate's information and data are contained in the following:

- The Directorate's records management procedures, training manuals, help cards, and other guidance.
- Preserving, protecting, securing, storage and handling of records, establishes how Directorate employees manages and maintains Directorate records, information and data for their required retention periods.
- Outsourcing Establishes how Directorate employees ensure outsourced recordkeeping capabilities meet the responsibilities and accountability requirements set out in the *Territory Records Act 2002*.
- Disaster preparedness and business continuity establishes the requirements for business units to operate and recover records during a scenario that inactive the continuity plan.

Records Disposal Arrangements (Retain Principle)

The following Records Disposal Schedules are authorised for use in the Directorate:

| Schedule name | Date Effective | Instrument No |
|---|------------------|----------------------------|
| Advocacy Services Records | 3 July 2015 | NI2015-357 |
| Arts and Cultural Development Records | 15 June 2004 | NI2004-179 |
| Audit Services Records | 30 January 2006 | NI2006-26 |
| Child and Youth Protection Services Records | 14 October 2016 | NI2016-567 |
| Community Development Records | 12 July 2006 | NI2006-257 |
| Converted or Digitised Source Records | 14 July 2020 | NI2020-435 |
| Corporate Governance Records | 5 January 2009 | NI2009-10 |
| Disability Services Records | 14 November 2017 | NI2017-603 |
| Disaster Recovery (Human Services) Records | 3 May 2005 | NI2005-157 |
| Education Strategy Records | 30 August 2013 | NI2013-375 |

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| Schedule name | Date Effective | Instrument No |
|--|-------------------|----------------------------|
| Emergency Awareness Records | 13 April 2012 | NI2012-184 |
| External Education Relations (Non-Government) | 30 August 2013 | NI2013-374 |
| Family Services Records | 19 July 2017 | NI2017-391 |
| For preserving records containing information that may allow people to establish links with their Aboriginal and Torres Strait Islander heritage | 25 March 2011 | NI2011-162 |
| Finance and Treasury Management Records | 27 February 2017 | NI2017-83 |
| Government and Stakeholder Relations Records | 27 February 2017 | NI2017-84 |
| Government Coordination Records | 11 September 2007 | NI2007-280 |
| Human Resources Records | 27 February 2017 | NI2017-79 |
| Human Rights and Discrimination Records | 1 September 2004 | NI2004-335 |
| Industry Long Service Leave Records | 12 July 2006 | NI2006-256 |
| Information and Communications Technology Records | 27 February 2017 | NI2017-85 |
| Inquiries & Commissions Records | 3 May 2005 | NI2005-155 |
| Ombudsman Complaint Management Records | 28 February 2011 | NI2011-93 |
| Population Health Care Management and Control Records | 1 May 2009 | NI2009-209 |
| Procurement Records | 4 October 2007 | NI2007-312 |
| Property Equipment and Fleet Records | 27 February 2017 | NI2017-86 |
| Protection of records relevant to the Royal Commission into Institutional Responses to Child Sexual Abuse | 22 August 2019 | NI2019-543 |
| Protection of records relevant to the Royal Commission into Natural Disaster Arrangements | 23 July 2020 | NI2020-468 |
| Protection of records relevant to the Royal Commission into Violence, Abuse, Neglect and Exploitation of People with Disability | 22 August 2019 | NI2019-542 |
| Public & Community Accommodation Records | 19 July 2017 | NI2017-392 |
| Public Health Protection Records | 26 March 2019 | NI2019-161 |
| Records and Information Management Records | 27 February 2017 | NI2017-87 |
| Records Created Prior to 1931 | 19 July 2017 | NI2017-395 |

| Schedule name | Date Effective | Instrument No |
|---|------------------|----------------------------|
| Records on Damaged or Obsolete Media | 14 July 2020 | NI2020-434 |
| School Management Records | 30 August 2013 | NI2013-373 |
| Solicitor and Legal Services Records | 27 February 2017 | NI2017-88 |
| Sport and Athlete Development Records | 11 December 2006 | NI2006-448 |
| Strategy and Governance Records | 27 February 2017 | NI2017-89 |
| Student Management Records | 14 October 2016 | NI2016-568 |
| Teacher Quality Records | 11 October 2018 | NI2018-550 |
| Tertiary Teaching and Research Records | 4 October 2007 | NI2007-314 |
| Training and Tertiary Education Records | 7 July 2015 | NI2015-363 |
| Venue & Event Management Records | 24 October 2005 | NI2005-402 |
| Victims Support & Redress Records | 1 May 2009 | NI2009-211 |
| Workplace & Safety Policy Records | 28 February 2011 | NI2011-96 |

Records may only be destroyed in accordance with one of these schedules or the Directorate's accepted normal administrative practice (NAP). Normal administrative practice for the Directorate is defined in Territory Records Office Advice - [Normal Administrative Practice](#).

Additional arrangements are in place to retain 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.

The Directorate's arrangements for the authorisation of the disposal of records, information and data, and for their proper destruction, are contained in the following documents:

- Creating, capturing, tracking, and managing records guiding Directorate employees in accurately and consistently maintaining and managing records.
- Records sentencing and disposal schedules establishes how Directorate employees apply records disposal schedules to Territory Records.

Public Access to Records, Information and Data, and Access Exemptions (Access Principle)

Arrangements are in place to provide public access to records, information and data under the authority of the *Territory Records Act 2002*. These arrangements also allows for the exemption of certain information, data and records assets, and the regular review of the exemption (as defined by section 28 of the *Territory Records Act 2002*). The organisation's arrangements for providing public access to records, information and data are contained in the following:

- Access to records, information and data embeds a philosophy of openness in relation to access to the Directorate's records, information and data.

- Protection of Aboriginal and Torres Strait Islander heritage establishes how Directorate employees identify and retain records that contain information which may allow people to establish links with their Aboriginal and/or Torres Strait Islander heritage.
- Public access to records, information and data and access exemption in accordance with the ACT Freedom of Information Act 2016 (the FOI Act) that gives individuals the legal right to:
 - access government information unless access to the information would, on balance, be contrary to the public interest;
 - ask for personal information to be changed if it is incomplete, out-of-date, incorrect or misleading; and
 - appeal a decision about access to a document, or a decision in relation to a request to amend or annotate a personal record.

Implementation, Compliance and Reporting

Arrangements are in place to implement this Records Management Program.

To monitor compliance with the Records Management Program, performance measures for records, information and data management activities have been established and include:

- information, data and records are created or captured in a full and accurate way and in endorsed locations
- information, data and records are appropriately managed for as long as required
- metadata requirements are implemented
- capability improvement measures are planned and implemented.

Reports on records, information and data management activities are provided to the Executive Branch Manager, DSST by the records manager and/or records management unit.

Availability for public inspection

Arrangements are in place to ensure this Records Management Program is available for inspection by the public free of charge.

A version of this Program is published to the [Directorate's website](#), with a notification advising that the complete Program is available for inspection upon request.

Review of this Records Management Program

A review of this Records Management Program will be undertaken at least every five years or as required. Reviews may result in the replacement or amendment of this Records Management Program.