



ICRC

independent competition and regulatory commission

Records Management Program

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Records Management Program

Authorisation

In accordance with the *Territory Records Act 2002*, and as Chief Executive Officer of the Independent Competition & Regulatory Commission, 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*
- certify that this Records Management 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 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
- Records Management Program (this document)
- records, information and data management:
 - policy
 - procedures (outlined in Office and Induction Manual)

The Records, Information and Data Management Policy is located on our electronic records management system.

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.

Chief Executive Officer

Date: 27 June 2018

Records Management Program

Introduction

The *Territory Records Act 2002* obliges the Chief Executive Officer to ensure the organisation and its staff comply with the *Territory Records Act 2002*, which includes 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.

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
- resolving disputes regarding compliance with the *Territory Records Act 2002* and the Records Management Program.

Capability assessment and maturity development (Capability Principle)

The Chief Executive Officer, in association with the Office Manager, will report annually to the Director of Territory Records on its records, information and data management capabilities as required by the Annual Report Directions.

Creating and managing full and accurate records (Assess Principle)

The Commission 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 Commission's activities are contained in standing operating procedures for its business activities, in the ICRC's office and admin manuals.

Metadata management (Describe Principle)

The Commission complies with recordkeeping metadata standards endorsed by the Territory Records Office. The Commission 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 Commission’s records are contained in standing operating procedures for its business activities, in the ICRC’s office and admin manuals.

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 Commission’s records, information and data are contained in the Commission’s Office Manual.

Records disposal arrangements (Retain Principle)

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

Schedule name	Date Effective	Instrument No
Finance and Treasury Management Records	27 February 2017	NI2017-83
Government and Stakeholder Relations Records	27 February 2017	NI2017-84
Human Resources Records	27 February 2017	NI2017-79
Information and Communications Technology Records	27 February 2017	NI2017-85
Property Equipment and Fleet Records	27 February 2017	NI2017-86
Records and Information Management Records	27 February 2017	NI2017-87
Solicitor and Legal Services Records	27 February 2017	NI2017-88
Source Records	25 March 2011	NI2011-170
Strategy and Governance Records	27 February 2017	NI2017-89
Preserving records containing information that may allow people to establish links with their Aboriginal and Torres Strait Islander heritage	25 March 2011	NI2011-162
Protection of records relevant to the Royal Commission into Institutional Responses to Child Sexual Abuse	1 February 2013	NI2013-42
Independent Competition and Regulation Records	2 February 2006	NI2006-28

Records may only be destroyed in accordance with one of these schedules or the Commission's accepted normal administrative practice. Normal administrative practice for Commission is defined in the Office Manual.

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

- File Register Spreadsheet - G:\ICRC\General Office Information\ICRC Filing Register
- Offsite Storage Register - G:\ICRC\General Office Information\ICRC Filing Register\Grace offsite storage
- Last page of physical file folders

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 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 *Territory Records Act 2002*). The organisation's arrangements for providing public access to records, information and data are contained in the Commission's Access to Information documents, including the Freedom of Information Fact Sheet and Disclosure Guidelines available on the ICRC website.

Implementation, compliance and reporting

Arrangements are in place to implement this Records Management Program.

To monitor compliance with the Records Management Program, 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.

Availability for public inspection

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

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.

Document history

Version	Date	Author	Comments
1.0	17 February 2016	RN	Approved for use
2.0	25 June 2018	Fiona Platzer	Updated
2.1	10 July 2018	Annette Weier	Approved for use