

Records Management Program

July 2026

Approval

	22 July 2026
Ajay Sharma, Auditor-General	Date

Document History

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Document Controller

Position
Chief Operating Officer, Professional Services

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1 Authorisation

- 1.1 In accordance with the *Territory Records Act 2002* (the Act) and as ACT Auditor-General, I:
- authorise this Records Management Program;
 - certify that this Records Management Program addresses all elements contained within section 16 of the Act;
 - certify that the agency has consulted with the Territory Records Advisory Council about records containing information to assist establishing links with Aboriginal and Torres Strait Islander heritage, as required by s17(d) of the Act; and
 - certify that this Records Management Program meets all requirements set out in the *Territory Records (Records and Information Governance) Standard 2022 (No 1)* released by the Director of Territory Records.
- 1.2 This Records Management Program supports the ACT Audit Office's Records Management Framework by documenting how the Office meets legislative requirements for managing records and information.
- 1.3 The ACT Audit Office's Records Management Framework is guided by:
- the *Territory Records Act 2002*;
 - the *Territory Records (Records and Information Governance) Standard 2022 (No 1)*;
 - *Records Advices* from the Territory Records Office; and
 - relevant Australian and international standards.
- 1.4 The ACT Audit Office's Records Management Framework includes:
- this Records Management Program;
 - a Records and Information Governance Policy and Procedure;
 - an Information Asset Register; and
 - user guides for records management and related systems specific to the ACT Audit Office.
- 1.5 In addition to the ACT Audit Office's Records Management Framework, relevant ACT Government user guides, policies and procedures will be utilised by the Office.
- 1.6 This Records Management Program is publicly accessible via the Office's website:
<https://www.audit.act.gov.au/>.

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

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

A handwritten signature in black ink, appearing to read 'Ajay Sharma'.

Ajay Sharma PSM
ACT Auditor-General

22 July 2026

2 Overview

Purpose

- 2.1 The *Territory Records Act 2002* (the Act) requires the Auditor-General to ensure the ACT Audit Office (ACTAO) and its staff comply with the Act including through the development, approval and implementation of this Records Management Program (the Program).
- 2.2 This Program addresses all requirements under section 16 of the Act and meets the requirements set out in *Territory Records (Records and Information Governance) Standard 2022* (the Standard) released by the Director of Territory Records.

Responsible Senior Manager

- 2.3 The Chief Operating Officer, Professional Services is the ACTAO's Executive responsible for records and information management, including the implementation and regular review of this Program.
- 2.4 A key responsibility includes ensuring all staff, consultants, contractors, outsourced providers and volunteers comply with the ACTAO Records Management Framework.
- 2.5 Further detail on roles and responsibilities is documented in the Records and Information Governance Policy and Procedure.

Relationship with the Director of Territory Records

- 2.6 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 and information governance capabilities, and issues notifiable instruments (standards) that relate to the management of records and information.
- 2.7 The ACTAO has arrangements in place to liaise with the Director of Territory Records for:
 - examining the operations of the ACTAO's Program and compliance with the Act;
 - advising on the outsourcing of any aspect of records and information governance responsibilities;
 - requesting assistance, advice and training in relation to records and information governance;
 - reporting on compliance with the Act, the Program and records and information governance capabilities; and
 - resolving disputes regarding compliance with the Act and the Program.

3 Records Management Principles

Principle 1: Strategy Principle

- 3.1 The [Strategy Principle](#) aims to ensure that organisations manage their records and information strategically by establishing clear recordkeeping objectives, managing risk and planning for and responding to change.
- 3.2 The ACTAO complies with the Strategy Principle by:
- developing and implementing a comprehensive Records Management Framework that includes:
 - this Records Management Program;
 - a Records and Information Governance Policy and Procedure;
 - an Information Asset Register; and
 - user guides for records management and related systems specific to the ACTAO; and
 - promoting and communicating the Records Management Framework to ensure it is applied consistently across the ACTAO by staff, consultants, contractors, outsourced providers and volunteers.

Principle 2: Capability Principle

- 3.3 The [Capability Principle](#) aims to ensure that organisations can effectively manage records and information by maintaining appropriate capability, including skilled staff, suitable systems and tools and adequate funding.
- 3.4 The ACTAO complies with the Capability Principle by:
- establishing and supporting dedicated records management roles and recruiting personnel with the appropriate skills and expertise to manage records and information;
 - reporting to the Director of Territory Records on the ACTAO's records and information governance capabilities using the Records Management Maturity Assessment Tool provided by the Territory Records Office and as required by the Annual Report Directions; and
 - undertaking annual planning to strengthen organisational capability by identifying improvement opportunities and providing ongoing professional development and training for relevant staff.

Principle 3: Assess Principle

- 3.5 The [Assess Principle](#) aims to ensure that organisations understand their records and information management requirements by identifying what records need to be kept, why they matter and how they should be managed according to their importance and risk.
- 3.6 The ACTAO complies with the Assess Principle by:

- identifying and documenting its business functions and activities within the Records Management Framework and establishing requirements for the creation of records through the Records and Information Governance Policy and Procedure;
- working with the Territory Records Office to develop Records Disposal Schedules that identify the records the ACTAO must create to make and keep full and accurate records of its activities; and
- determining the significance, retention requirements and disposal outcomes for records, including identifying records of enduring value to be retained as Territory Archives.

Principle 4: Describe Principle

- 3.7 The [Describe Principle](#) aims to ensure that organisations appropriately title, describe and apply metadata to their records and information so they remain accessible, usable and understandable over time.
- 3.8 The ACTAO complies with the Describe Principle by:
- utilising Objective as the ACTAO's EDRMS to describe records through standard metadata fields, including capturing details of records stored in other business systems;
 - implementing naming conventions for records and supporting staff awareness and understanding of these conventions; and
 - ensuring records are appropriately described and organised by business function and activity through an approved folder structure and system controls.

Principle 5: Protect Principle

- 3.9 The [Protect Principle](#) aims to ensure that organisations protect records and information by securely handling and storing them.
- 3.10 The ACTAO complies with the Protect Principle by:
- utilising secure physical and digital environments for records and information to prevent unauthorised access, loss or interference;
 - implementing access controls and dedicating resources to manage user access, permissions and security settings to ensure records are accessible only to authorised users;
 - maintaining documented procedures to protect records and information through approved policies and plans that are provided to staff, consultants, contractors, outsourced providers and volunteers, including the:
 - Records and Information Governance Policy and Procedure;
 - Managing Protected Information and Workstation Policy;
 - Business Continuity Management Policy and Plan;
 - Security Plan; and
 - Fraud and Corruption Prevention Plan; and

- ensuring records and information held by external parties (e.g. consultants, contractors and outsourced providers) are returned at the end of their engagement.

Principle 6: Retain Principle

- 3.11 The [Retain Principle](#) aims to ensure that organisations retain records and information for required periods by applying approved records disposal schedules that determine retention timeframes.
- 3.12 The ACTAO complies with the Retain Principle by:
- sentencing records at the point of creation in accordance with approved records disposal schedules. Refer to Appendix A – ACTAO Authorised Records Disposal Schedules;
 - implementing procedures for records disposal, including multiple levels of review and approval prior to the destruction of records; and
 - remaining informed of changes to Records Disposal Schedules including disposal freezes and seeking guidance from the Territory Records Office as required.

Preservation of records that may allow people to establish links with their Aboriginal and Torres Strait Islander heritage

- 3.13 The ACTAO does not currently hold records that may enable individuals to establish links to their Aboriginal or Torres Strait Islander heritage. While such records may be encountered during the conduct of audits, they remain the property of and are managed by the audited agency.
- 3.14 The ACTAO recognises the importance of identifying and appropriately managing records and information that may assist individuals to establish links with their Aboriginal or Torres Strait Islander heritage. To support this, the ACT Audit Office:
- communicates expectations to staff regarding the recognition and appropriate management of such records; and
 - implements controls to support the identification, classification and ongoing management of these records.

Principle 7: Access Principle

- 3.15 The [Access Principle](#) aims to ensure that organisations manage records and information to support openness, ensuring they remain accessible for as long as required to meet accountability, legislative and business requirements.
- 3.16 The ACTAO complies with the Access Principle by:
- documenting its approach to access including public access and use of records in the Records and Information Governance Policy and Procedure; and
 - adopting a default position of openness, whereby records and information are broadly accessible unless there is a lawful or business requirement to restrict access.

Section 28 Application

- 3.17 Section 28 of the *Territory Records Act 2002* allows certain records and information assets that are more than 20 years old to be exempt from public access. It also requires these exemptions to be reviewed regularly to ensure they remain appropriate. The ACTAO keeps a register of its records in relation to which a declaration under section 28 (Declaration applying provisions of *Freedom of Information Act 2016*) is in force.
- 3.18 The ACTAO's arrangements for the regular review of records with Section 28 application are documented in the Records and Information Governance Policy and Procedure.

4 Program Governance

Implementation

- 4.1 A dedicated resource (Director, Governance) is responsible for overseeing the implementation, governance and ongoing management of the ACTAO's Records Management Framework.

Compliance

- 4.2 To monitor compliance with the Program, performance measures for records and information governance activities have been established and include:

Measure	Timing
Communication to staff on records and information requirements via the ACTAO's intranet and/or staff or branch meetings.	At least quarterly
Completion of the Territory Records Office Records Management Maturity Assessment Tool.	As required by the TRO
The Records Manager attends the ACT Government Records and Information Management Community of Practice.	Twice per year
Review of newly created files in Objective to ensure compliance with metadata requirements.	Monthly
Report on the application of disposal schedules within Objective is provided to the Chief Operating Officer.	Twice per year

Access controls in Objective and Caseware are reviewed to ensure appropriate access.	Every six months
Records destruction process is completed in accordance with approved policies and procedures.	Annually

Access

- 4.3 This Records Management Program is published on the [ACT Audit Office website](https://www.audit.act.gov.au) (<https://www.audit.act.gov.au>).

Review

- 4.4 In line with the Strategy Principle, a review of this Records Management Program will be undertaken every five years, or earlier in response to significant organisational or legislative changes. Reviews may result in the replacement or amendment of this Records Management Program.

Appendix A - ACTAO Authorised Records Disposal Schedule

Schedule Name	Instrument No
<u>Territory Records (Records Disposal Schedule - Audit Services Records) Approval 2006 (No 1)</u>	NI2006-26
<u>Territory Records (Records Disposal Schedule - Finance and Treasury Management Records) Approval 2017 (No 1)</u>	NI2017-83
<u>Territory Records (Records Disposal Schedule - Government and Stakeholder Relations Records) Approval 2017 (No 1)</u>	NI2017-84
<u>Territory Records (Records Disposal Schedule - Human Resources Records) Approval 2017 (No 1)</u>	NI2017-79
<u>Territory Records (Records Disposal Schedule - Information and Communications Technology Records) Approval 2017 (No 1)</u>	NI2017-85
<u>Territory Records (Records Disposal Schedule - Property Equipment and Fleet Records) Approval 2017 (No 1)</u>	NI2017-86
<u>Territory Records (Records Disposal Schedule - Records and Information Management Records) Approval 2017 (No 1)</u>	NI2017-87
<u>Territory Records (Records Disposal Schedule - Solicitor and Legal Services Records) Approval 2017 (No 1)</u>	NI2017-88
<u>Territory Records (Records Disposal Schedule - Strategy and Governance Records) Approval 2017 (No 1)</u>	NI2017-89
<u>Territory Records (Records Disposal Schedule - For preserving records containing information that may allow people to establish links with their Aboriginal and Torres Strait Islander heritage) Approval 2011 (No 1)</u>	NI2011-162
<u>Territory Records (Records Disposal Schedule - Converted or Digitised Source Records) Approval 2020 (No 1)</u>	NI2020-435
<u>Territory Records (Records Disposal Schedule – Records on Damaged or Obsolete Media) Approval 2022 (No 1)</u>	NI2022-350
<u>Territory Records (Records Disposal Schedule - Protection of Records Relevant to Cornwell-type Superannuation Claims) Approval 2016 (No 1)</u>	NI2016-378
<u>Territory Records (Records Disposal Schedule – Protection of records relevant to the Royal Commission into Institutional Responses to Child Sexual Abuse) Approval 2022 (No 1)</u>	NI2022-620