Monitoring framework

- Available at http://www.records.nsw.gov.au/recordkeeping/state-records-act

- Outlines role of monitoring, roles and responsibilities for monitoring

Your organisation is responsible for:

- measuring and monitoring their **recordkeeping performance** for planning and improvement purposes

- ensuring they **comply** with the State Records Act and associated standards and codes of best practice, and

- **cooperating** with State Records in monitoring compliance.

State Records is responsible for:

- monitoring compliance with the State Records Act, standards & codes of best practice
- reporting to Parliament and the Government about recordkeeping and the management of records in NSW
- communicating requirements and timetables for monitoring activities
- providing advice and guidance on how public offices can comply with requirements, and
- providing advice and guidance on how public offices can measure and monitor their own performance.

State Records' monitoring activities

- Self assessment surveys
  - Storage and disposal in 2008
  - digital recordkeeping in September 2010 and another in 2012
- Inspections and assessments
- Follow-up and remedial action

Why should we monitor records management?

To assure our organisations and stakeholders that:

- recordkeeping systems and processes are working effectively and efficiently

- full and accurate records are created and captured into the organisation's recordkeeping systems

- employees are comply with rules and procedures for recordkeeping

- records can be identified and retrieved from the recordkeeping systems in order to meet the business needs

- resources are being spent efficiently, and that

- the organisation is complying with NSW Government recordkeeping policy.

What to monitor?

- Compliance monitoring
  - a regular exercise to check conformity with the Act and standards

- Performance monitoring
  - high risk business functions and issues with poor practice should be a priority
  - regular monitoring of recordkeeping system and processes

How to monitor records management?

- 'Monitoring tools' page on SRNSW website
  http://www.records.nsw.gov.au/recordkeeping/topics/monitoring-records

- Includes links to:
  - Records management assessment tool **NEW**
  - Information Asset Management Systems (IAMS) assessment tool
  - Standards and checklists
  - Guideline 19: Monitoring Recordkeeping Performance
  - Survey reports
  - Information about Standards Australia's Recordkeeping Compliance handbook (HB278-2009) **NEW**

Records management assessment tool

- New self assessment tool for measuring:
  - conformity with requirements of State Records Act and standards issued under the Act, and
  - capacity of the organisation in achieving best practice records management.
- Modular approach which allows for flexibility and pathways in what you measure – you can use individual modules or all 7 for a comprehensive assessment!

Modules

1. Framework for records management
2. Make and keep full and accurate records
3. Safe custody and proper preservation of records
4. Digital recordkeeping
5. Appraisal and disposal of records
6. Management of longer term records
7. Assessing recordkeeping performance within the work unit

Using the tool

Compliance criteria:

- drawn from State Records Act and standards issued under Act

Performance criteria:

- establish if your organisation has achieved a higher degree of maturity and capability in the topic by working *beyond the minimum compliance requirements*

To use the tool:

4. work through each criteria

5. determine whether your organisation has met the criteria and has evidence to demonstrate conformity

6. rate how well your organisation is conforming to the criteria

Compliance rating

If ….	Then ….
No issues with compliance	1
Minor issues with compliance	2
Insufficient compliance	3
Significant lack of compliance	4

Framework·for·records·management¤

Records·management·policy·and·procedures✱

¤	Criteria¤	Evidence¤	Your·assessment·&·comments¤	Compliance·rating·(1·–·4)¤
1¤	Framework·for·records·management·has·been·established¶ Source:¶ State·Records·Act¶ Program·standard,·compliance·requirement·3.1¤	a.→ A·senior·officer·has·been·formally·assigned·responsibility·for·the·records·management·program.·¤ b.→ This·officer·is·of·a·sufficiently·senior·level·to·ensure·that·the·program·is·allocated·appropriate·and·adequate·resources.¤ c.→ Objectives·for·the·organisation's·records·management·program·have·been·established.¶ *[Documentary·evidence]*¤	☐·Yes·☐·No¤ ☐·Yes·☐·No✱ ☐·Yes·☐·No✱	¤
2¤	Outsourcing·and·records·management¶ Source:·¶ State·Records·Act¤	•→ All·contracts·for·outsourcing·(ie·the·delivery·of·service/s·by·another·organisation·or·individual·on·behalf·of·the·organisation)·include·provisions·addressing:¶ o→ recordkeeping·requirements·of·the·business·being·outsourced¶ o→ compliance·with·the·relevant·requirements·of·the·State·Records·Act·and·appropriate·standards·on·records·management·and·identified·business·requirements·for·records·management¶ o→ records·disposal¶ o→ return·of·records·at·the·termination/expiration·of·the·contract¶ o→ records·security·and·storage¶ o→ rights·of·and·arrangements·for·access·to·records¶ o→ monitoring·and·inspection·arrangements¶	☐·Yes¶ ☐·In·part¶ ☐·No¶ ☐·Not·applicable·as·my·organisation·does·not·outsource·services✱	✱

#	Criteria	Evidence	Your assessment & comments	Compliance rating (1 - 4)
	descriptions¶ Source: Performance¤	creating and capturing the necessary business records).¶ [Documentary evidence]¤		this question¤
11¤	Records management procedures are reviewed and updated¶ Source: Performance¤	• → Regular cycle of review of records management procedures to ensure that the procedures continue to be relevant and reflect current procedures/practices/processes.¶ [Documentary evidence]¤	☐ …Yes… ☐ …No¤	Performance question. You do not need to rate compliance for this question¤
12¤	Records management training is reviewed and updated¶ Source: Performance¤	• → Regular cycle of review of records management training to ensure that training continues to be relevant and reflect current procedures/practices/processes.¶ [Documentary evidence]¤	☐ …Yes… ☐ …No¤	Performance question. You do not need to rate compliance for this question¤

Planning and resources¤

¤	Criteria¤	Evidence¤	Your assessment & comments¤	Compliance rating (1 - 4)¤
13¤	Records management program is planned¶ Source: Program standard, compliance requirement 2.1¤	• → Plans are in place to achieve the short term and long term goals of the records management program. [Records management may be included in other planning documents such as the organisation's annual plan and strategic plan].¶ [Documentary evidence]¤	☐ …Yes… ☐ …No¤	¤
14¤	Records management program is resourced¶ Source: Program standard, compliance requirement 2.2¤	• → Adequate resources are allocated to achieve the outcomes set in plans established for the records management program. [Resources should cover ongoing operations and projects identified in the long term planning for records management].¶ [Documentary evidence]¤	☐ …Yes… ☐ …No¤	¶ ¤

What to do with the assessment …

1. evaluate the results of the assessment
2. identify the areas needing improvement and examine the resources listed in the module for suggestions on how to improve
3. prioritise improvements (significant areas of non-compliance)
4. prepare report for senior management and,
5. incorporate improvements into strategy and planning processes.

- **You do not need to send copies of assessments to State Records, but you may be asked to provide documentation of your monitoring activities in the future, so make sure you keep a record!**

Feedback

- Records Management Assessment Tool is available as an **exposure draft** until 5 February 2011

- Feedback is very welcome

- Feedback form is available from
  http://www.records.nsw.gov.au/recordkeeping/topics/

For further information

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