Standard on records management

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Overview

- Background to new standard
- Aims of the new standard
- New Standard on records management
- Implementation Guide
- How to make the transition to the new standard

Background to development of new standard

1. Drivers for revision of five standards:
   - Age of standards
   - Concerns that some standards didn't assist us in the current recordkeeping environments
   - Issues raised in our monitoring activity
   - Harmonise with Information Management Framework and assist with the digital transformation of NSW Government.

2. Review process indicated preference for single standard and provided lots of excellent feedback on the five standards

3. Consolidated, streamlined and reduced duplication of requirements: 61 requirements have been reduced to 21 requirements

The aims of the new standard

- Supports physical & digital records AND supports digital records and information management as Government business transitions into fully digital operations

- Supports good information practices in complex business and information environments

- Builds on a strong foundation in the 1st and 2nd generation of standards

Standard on records management

- Issued 2 March 2015
- New standard is accompanied by detailed Implementation Guide, new guidance and updated guidance on a range of topics
- Most minimum compliance requirements commenced on 2 March, although 6 new minimum compliance requirements commence 1 December 2015

Principle 1: Organisations take responsibility for records and information management

Establish governance frameworks:

- policy directing how records and information shall be managed
- assigning responsibilities
- establishing provisions for records and information in outsourcing and service delivery arrangements, and
- monitoring records and information management activities, systems and processes.

New requirements

- Responsibility for ensuring that records and information management is integrated into work processes, systems, and services is allocated to business owners and business units (requirement 1.5)
- Records and information management responsibilities are identified and addressed in outsourced, cloud and similar service arrangements (requirement 1.7)

Principle 2: Records and information management support business

Taking a planned approach to RM/IM:

- undertaking assessment of records and information needs so that the organisation can define key business information
- using the assessment to design records and information into processes and systems
- considering all operating environments, so that creation and management of records and information needed to support business are considered in all system and service arrangements.

Principle 2 contd

New requirements

- High risk and high value areas of business and the systems, records and information needed to support these business areas are identified (requirement 2.2)

- Records and information management is a designed component of all systems and service environments where high risk and/or high value business is undertaken (requirement 2.3)

- Records and information are managed across all operating environments (requirement 2.4)

Principle 3: Records and information are well managed

Effective management of records and information:

- underpins trustworthy, useful and accountable records and information

- records and information are accessible and retained for as long as they are needed

- management extends to records and information in all formats, in all business environments, and in all types of systems.

New requirement:

- Records and information are kept for as long as they are needed for business, legal and accountability requirements (requirement 3.6)

Implementation Guide

- Provides detailed information about requirements in the new standard

- Explanation on how the new standard will assist public offices meet their obligations under the State Records Act

- Most importantly, how to transition from the 5 superseded standards to the new standard

Part 1: Understanding the requirements of the new standard

This part is designed to assist public offices understand the requirements of the Standard on records management. Following is a table for each principle which lists the minimum compliance requirements, an explanation for each requirement, and key guidance for implementing the requirements. The key guidance section of the document will be added to progressively as more guidance is developed.

Principle 1: Organisations take responsibility for records and information management

To ensure records and information are able to support all corporate business operations, organisations should establish governance frameworks. These include:

- policy directing how records and information shall be managed
- assigning responsibilities
- establishing provisions for records and information in outsourcing and service delivery arrangements
- monitoring records and information management activities, systems and processes.

Minimum compliance requirements	Explanation	Key guidance for implementing this requirement
1 **Corporate records and information management is directed by policy and strategy.**	Governance frameworks are critical to the achievement of good records and information management. This requirement establishes the importance of high level policy and strategy, adopted by the Senior Executive of the organisation, to ensure good records and information management practice in the organisation. Policy and strategy identify the value of corporate records and information, how records and information are managed, the various levels of responsibility and accountability for records and information within the organisation, requirements for records and information in outsourcing and service delivery arrangements, and the	Establishing effective information management What is information management? Records and information management policy checklist (coming soon) NSW Information Management Responsibilities and Accountability Guidance (September 2013)

Part 2: Meeting obligations under the State Records Act 1998

The State Records Act conveys a number of obligations for public offices. In the past, each obligation could be matched up to an individual standard issued by State Records. The new *Standard on records management* takes a different approach and will assist organisations meet a range of obligations.

Obligation under the State Records Act	Requirement in new Standard
Obligation to protect records Each public office must ensure the safe custody and proper preservation of the State records that it has control of. (Section 11(1))	Requirements 2.5, 2.6, 3.3, 3.4
Full and accurate records Each public office must make and keep full and accurate records of the activities of the office. (Section 12(1))	Requirements 1.6, 2.1, 2.5, 2.6, 3.1, 3.2, 3.3, 3.4
Records management program Each public office must establish and maintain a records management program for the public office in conformity with standards and codes of best practice from time to time approved under section 13. (Section 12(2))	Requirements 1.1, 1.2, 1.3, 1.4, 1.8
Monitoring and reporting Each public office must make arrangements with the State Records Authority for the monitoring by the Authority of the public office's records management program and must report to the Authority, in accordance with arrangements made with the Authority, on the implementation of the public office's records management program. (Section 12(4))	Requirements 1.8
Equipment/technology dependent records If a record is in such a form that information can only be produced or made available from it by means of the use of particular equipment or information technology (such as computer software),	Requirements 2.5, 2.6, 3.3, 3.4

Transitioning from 5 standards to new standard

Scenario 1: You already meet the requirements of the superseded standards

- Organisation meets most requirements in new standard
- Check existing documentation
- Primarily concerned with implementing new requirements

Scenario 2: You don't meet all the requirements of the superseded standards

- Need to assess which requirements of new standard you don't meet, develop a strategy, then implement these requirements
- Check existing documentation
- Also need to implement new requirements

Transitioning from 5 standards to new standard (contd)

Scenario 3: You don't know what requirements your organisation is meeting

- Need to assess which requirements of the new standard you don't meet

- Develop a strategy to implement the requirements

- Check any documentation your organisation has in case it can be revised

Tips

- Use the mappings between the superseded standards and the new standard
- Superseded standards are now available from www.opengov.nsw.au
- Use the "Examples of how a public office can demonstrate compliance with the requirement" from the Standard to understand how the requirement could be implemented in your organisation
- Use the resources in the Implementation Guide
- Network with your peers in other public offices, share and collaborate
- Contact Government Recordkeeping

Questions