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Adequate Records Management - Improvement Matrix and Evidence Toolkit

Guideline

December 2004 to July 2008

Version 5



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Introduction

Records management is one of a number of important 'administrative' activities of agencies that support their core business. Without proper records management agencies would soon find themselves in administrative and financial difficulties.

Agencies, as defined in section 3 of the *State Records Act, 1997*, are required to develop an adequate records management regime in accordance with section 16 of the *State Records Act 1997*, defined by State Records as meeting the Adequate Records Management Outcomes given below.

Related Documents

This *Improvement Matrix* is part of an overarching framework for the South Australian Government. It is issued as a guideline in accordance with section 7(g) of the *State Records Act 1997*. Other documents in the framework are:

- ▶ *Meeting the Standard* - a standard that outlines the outcomes for an adequate records management regime, and provides associated policy statements, explanations and benchmarks that agencies need to satisfy if their records management programs are to be considered adequate in accordance with section 16 of the State Records Act.
- ▶ *Implementation Plan* - a guideline that provides a generic plan for implementing an adequate records management program.
- ▶ Recordkeeping Advice Sheets - these provide further advice for each outcome.
- ▶ Across-Government Records Management Strategy - this document outlines the goals and actions all agencies need to address in order to achieve records management 'adequacy' status before June 2010.

Adequate records management outcomes

State Records has adopted eleven operational and strategic Adequate Records Management Outcomes for Government, namely:

- ▶ official records are created
- ▶ official records are captured
- ▶ official records are disposed of systematically
- ▶ access to official records is managed
- ▶ official records can be found
- ▶ official records can be relied upon
- ▶ the management of official records is planned
- ▶ records management training is provided to staff
- ▶ records management reporting mechanisms are implemented
- ▶ policies, procedures and practices exist for the management of official records

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- ▶ sufficient numbers of skilled records management resources are allocated.

These outcomes, which are further defined in *Meeting the Standard*, cover the broad spectrum of good records management practices.

Achieving adequate records management

As part of achieving adequate records management agencies are expected to assess their records management systems, programs, practices and resources to establish a credible baseline from which to measure incremental improvement. State Records has developed an *Assessment Reporting Tool* as part of this guideline to help agencies with this assessment. Agencies will need to demonstrate that they are making improvements with the intention of achieving adequate records management.

This *Assessment Reporting Tool* – see Attachment 2, will help determine progress towards the outcomes and State Records formal monitoring will ensure that agencies are achieving the Adequate Records Management Outcomes.

Variation to this guideline

State Records may update or alter the *Assessment reporting Tool* or *Evidence Toolkit* from time to time, as authorised by the Director of State Records, in consultation with the State Records Council. All South Australian agencies shall be informed of any such alterations or updates.

About the Records Management Improvement Matrix

The *Assessment Reporting Tool* and *Evidence Toolkit* can be used by an agency to make a realistic determination of its existing level of records management effectiveness with regard to skill levels, policies and procedures, systems and processes, and strategic focus.

How to use this Guideline

Read the Guideline in conjunction with *Meeting the Standard* and the *Implementation Plan* and the *Records Management Audit Guideline*, which are available from State Records (<http://www.archives.sa.gov.au/>).

The Guideline applies equally to both paper-based and electronic records, systems and programs, requiring agencies to look holistically at their records management. In any given period an agency may focus on certain outcomes in preference to others. The aim should be overall improvement over time in a planned and managed way.

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The *Assessment Reporting Tool* includes both operational and strategic components of records management and can help agencies identify and assign responsibilities at all levels, from senior management to records managers to all other staff.

The process of moving up the levels of each outcome is incremental. In most cases, each level and its activities lead on to the next level. They create the infrastructure for sustainable improvement.

Planning

Making improvements across all outcomes at the same time is probably neither achievable nor expected. The primary objective is for agencies to demonstrate their willingness to improve over time in a planned and structured manner. Some targets are more easily reached than others. Similarly, the achievement of some targets may have greater urgency based on business needs or the perception of risk to the agency. It is possible that improvement in one outcome may result in improvements in others as well.

After using the *Assessment Reporting Tool* and *Evidence Toolkit*, the next step for agencies is to determine strategies and action plans that can be put in place to achieve the outcomes that have been set. A generic implementation plan for a records management program described in the *Implementation Plan* can be used to achieve improvement in a structured and progressive manner.

Glossary

State Records has produced an extensive Glossary of Records Management Terms. This can be accessed from the Adequate Records Management, publications section of the State Records website, <http://www.archives.sa.gov.au/>.

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Attachment 1 - Using the Assessment Reporting Tool

The following report is designed as a tool for assessment against the eleven performance Outcomes outlined in the State Records of South Australia *Adequate Records Management: Meeting the Standard and Improvement Matrix*. The standard includes policy statements and minimum compliance requirements, with which Agencies must comply, to achieve adequate records management practice.

Adequate records management practices must be in place to ensure the following outcomes are achieved:

1. Creation of records
2. Capture of records
3. Disposal of records
4. Access to records
5. Locatability of records
6. Reliability of records
7. Planning
8. Training
9. Reporting
10. Policies, Procedures and Practices
11. Resourcing.

The Adequate Records Management standard and guidelines can be accessed online at the State Records website: <http://www.archives.sa.gov.au/>

The benefits of the assessment to agencies include:

- ▶ Measuring existing practices against the outcome statements
= Adequacy Gap Analysis.
- ▶ Areas of agency business that are potentially exposed to risks (i.e. lack of security control over commercial-in-confidence records such as contracts)
= Risk Assessment analysis.
- ▶ Assess current records management practices
= Make realistic determinations of improvements.
- ▶ Identifying a priority list of outcomes to be achieved
= A plan for progressive improvement to achieve adequate recordkeeping.
- ▶ Identifying vital records
= Inventory of business critical documents to be securely stored.
- ▶ Assessing disaster preparedness
= A Disaster Plan for all records.

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State Records will use the information from the assessment to:

- ▶ Identify areas of particular need, which require attention.
- ▶ Structure its services and resources to best meet the needs of agencies.
- ▶ Develop future audit programs.

State Records recognises that improvement in all outcome areas by all agencies within a particular timeframe is not probably achievable, nor is it expected. State Records is looking for planned and incremental improvement over time according to each agency's business needs and resourcing.

The initial assessment is part of a staged process. Subsequent assessments will be required to address not only where agencies were at, as of 30 June 2006, but also to identify strategies and plans to achieve adequate records management in the future.

State Records recommends an independent assessment of an Agency's current records management practices. These assessment reports should be forwarded to the Director State Records at the address below.

Completing this report:

1. Complete the Agency Details form (Attachment 2).
2. For each of the 11 Adequate Records Management outcomes, determine at what level your agency operates with respect to adequate records management standard. The assessment may utilise a range of methods to determine the current level for each of the outcomes and may include for example: SWOT analysis, staff and client interviews, written surveys, internal audit processes etc. The assessment method used should be indicated for each outcome.
3. For each of the 10 outcomes provide evidence as listed in the *Evidence Toolkit* substantiating your agency's assessment at a particular level. For example with respect to "*Outcome 4: Disposal*" the existence of a specific Disposal Schedule(s) and the establishment of an effective records disposal program would indicate that your agency is near level 4. The level shaded in grey is the level defined as adequate for each outcome.
4. Map your current assessed level for all 11 outcomes on the progress chart (Attachment 2 page 12) by placing the corresponding outcome numbers in the relevant box.
5. Post, fax or e-mail to the Director State Records at the address below:
 - ▶ Agency details (Attachment 2),
 - ▶ qualifications of the author that prepared the agency's Assessment Report,
 - ▶ completed summarised responses for each outcome (Attachment 2),
 - ▶ the tasks the agency plans to action for the following financial year to improve their recordkeeping systems, tools and practices.

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If you have any queries regarding completion of the assessment report please contact
State Records - Records Management Services:

Phone: (08) 8204 8773

Fax: (08) 8204 8777

E-mail: <mailto:srsaRecordsManagement@saugov.sa.gov.au>

Completed reports should be sent to:

State Records of South Australia

GPO Box 1072

ADELAIDE SA 5001

Fax: (08) 8204 8777

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Attachment 2 – Assessment Reporting Tool

Agency details:

Agency Name: _____

GA Number (if known) _____

Business Units / Sub Agencies covered by this report:

Agency Contact Officer: _____

Agency Contact Position Title and Level: _____

Qualifications of Author: _____

Agency Contact details:

Phone: _____

Fax: _____

E-mail: _____

Date of Assessment: _____

Summary of Assessment approach taken:

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Outcome 1 – Creation of Records

<u>CREATION OF RECORDS</u>	
Official records are created in all appropriate circumstances	
Indicate the method(s) used to determine your current assessed level:	
<i>Levels of Achievement</i>	<i>Evidence of current assessed position</i>
Level 1: <i>Records Management Baseline</i> <ul style="list-style-type: none"> • The creation of official records required under legislation and evidence of business occurs. 	
Level 2: <i>Awareness of the Need for Good Practice</i> <ul style="list-style-type: none"> • CE and Senior Management view the creation of official records as necessary for documenting and facilitating the transaction of business. 	
Level 3: <i>Defining and Documenting Good Practice</i> <ul style="list-style-type: none"> • Legislative and business requirements for creation are documented. • The agency clearly differentiates between official records and non-official personal records. • Official records are created for all transactions. • The functions and activities of the agency are identified and documented within a Business Classification Scheme. • Responsibility for creation at a whole-of-agency level is assigned. 	
Level 4: <i>Establishing Consistent Good Practice</i> <ul style="list-style-type: none"> • A register of official records required by the agency is developed and maintained. • Responsibility for creation at a workgroup level is assigned. • Business processes are reviewed to map creation requirements. • Staff are informed of their obligations and the need to create records. <p style="text-align: right; margin-right: 20px;">*Adequate level for this outcome</p>	
Level 5: <i>Breaking Through to Best Practice</i> <ul style="list-style-type: none"> • The creation of official records is routinely monitored and corrective action taken accordingly. • Responsibility for creation at an individual position level is assigned. 	

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Outcome 2 – Capture of Records

<u>CAPTURE OF RECORDS</u>	
Official records are captured into corporate recordkeeping systems upon creation or receipt or as soon as practicable afterwards	
Indicate the method(s) used to determine your current assessed level:	
<i>Levels of Achievement</i>	<i>Evidence of current assessed position</i>
Level 1: <i>Records Management Baseline</i> <ul style="list-style-type: none"> • The capturing of official records is perceived as a priority within an agency. 	
Level 2: <i>Awareness of the Need for Good Practice</i> <ul style="list-style-type: none"> • CE and Senior Management recognise the need for corporate recordkeeping systems to effectively capture official records. 	
Level 3: <i>Defining and Documenting Good Practice</i> <ul style="list-style-type: none"> • The use of and existence of personal recordkeeping systems is prohibited for the capture of official records. • Responsibility for capture of official records is assigned at a whole-of-agency level. • A corporate recordkeeping system is in place. 	
Level 4: <i>Establishing Consistent Good Practice</i> <ul style="list-style-type: none"> • A compliant EDRMS is implemented and maintained. • Responsibility for capture of official records is assigned at a workgroup level. • Business processes are reviewed to map capture requirements. • Staff are informed of their obligations regarding official record capture. • Staff actively capture records relevant to their business activities and responsibilities within the agency into the corporate recordkeeping system. • Official records are assigned unique identifiers. • The Business Classification Scheme is implemented for the capture of official records. <p style="text-align: right; margin-top: 0;"><i>*Adequate level for this outcome</i></p>	

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Level 5: *Breaking Through to Best Practice*

- The capture of official records is routinely monitored and corrective action taken accordingly.
- Non-official records are not captured into the corporate recordkeeping system.
- Responsibility for capture at an individual position level is assigned.
- The Business Classification Scheme is routinely monitored across the agency.
- Line of Business applications interface to the corporate recordkeeping system.

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Outcome 3 – Disposal of Records

<u>DISPOSAL OF RECORDS</u>	
All official records of the agency are disposed of in accordance with provisions of the State Records Act 1997	
Indicate the method(s) used to determine your current assessed level:	
<i>Levels of Achievement</i>	<i>Evidence of current assessed position</i>
Level 1: <i>Records Management Baseline</i> <ul style="list-style-type: none"> • The sentencing of official records is perceived as a priority in an agency. 	
Level 2: <i>Awareness of the Need for Good Practice</i> <ul style="list-style-type: none"> • CE and Senior Management recognise the need for records to be sentenced. • All staff are aware of disposal schedules - both general and operational. 	
Level 3: <i>Defining and Documenting Good Practice</i> <ul style="list-style-type: none"> • A register of approved operational disposal schedules is maintained. • Agencies identify and document which records are not covered by current disposal schedules. • Responsibility for disposal of official records is assigned at a whole-of-agency level to the Records Manager. • A disposal program is developed. 	
Level 4: <i>Establishing Consistent Good Practice</i> <ul style="list-style-type: none"> • Agencies develop new disposal schedules to cover all operational records. • Agencies apply the relevant GDS and RDS to official administrative and operational records. • Where disposal has not occurred, backlog sentencing is conducted and permanent and temporary records are identified. • A disposal program is commenced. 	
Level 5: <i>Breaking Through to Best Practice</i> <ul style="list-style-type: none"> • Responsibility for disposal at an individual level is assigned. • All official records are covered by disposal schedules. • Routine sentencing and disposal programs are followed. • The disposal program is coordinated and authorised. • No illegal destruction occurs. • A record is kept for records destroyed. • Business processes are reviewed to map disposal requirements. • Mandatory transfer of permanent records is undertaken. <p style="text-align: right;"><i>*Adequate level for this outcome</i></p>	

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Outcome 4 – Access to Records

<u>ACCESS TO RECORDS</u>	
All access to official records takes place in a managed manner using prescribed policies and procedures.	
Indicate the method(s) used to determine your current assessed level.	
<i>Levels of Achievement</i>	<i>Evidence of current assessed position</i>
Level 1: <i>Records Management Baseline</i> <ul style="list-style-type: none"> • Agencies view access to records as a priority. 	
Level 2: <i>Awareness of the Need for Good Practice</i> <ul style="list-style-type: none"> • CE and Senior Management are aware of legislation relating to access and Freedom of Information, and the Information Privacy Principles. 	
Level 3: <i>Defining and Documenting Good Practice</i> <ul style="list-style-type: none"> • Access requirements for certain records are identified and documented. (e.g. Privacy, commercial in confidence) • Responsibility for official record access is assigned at a whole-of-agency level. 	
Level 4: <i>Establishing Consistent Good Practice</i> <ul style="list-style-type: none"> • Responsibility for access is assigned at the workgroup level. • Accredited records management practitioners and / or freedom of information officers assess requests for access. • Security issues are identified and documented by EDRMS administrators. • Appropriate security classifications (clearances) are assigned by corporate recordkeeping administrators to all staff for accessing official records. • Commercial confidentiality agreements are identified and documented. • The Records Manager develops processes for seeking legal advice where access may expose the agency to legal liabilities and administered. <p style="text-align: right; margin-right: 20px;"><i>*Adequate level for this outcome</i></p>	
Level 5: <i>Breaking Through to Best Practice</i> <ul style="list-style-type: none"> • Access determinations for all official records are developed by the agency according to SA Government standards and guidelines • Access determinations are developed for official records already in the custody of State Records. • FOI Statements are forwarded to State Records. • Information Privacy Principles are implemented and adhered to for all official records. 	

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Outcome 5 – Locatability of Records

<u>LOCATABILITY OF RECORDS</u>	
Specific official records can be found upon demand or with the minimum extra effort	
Indicate the method(s) used to determine your current assessed level:	
<i>Levels of Achievement</i>	<i>Evidence of current assessed position</i>
Level 1: <i>Records Management Baseline</i> <ul style="list-style-type: none"> • Agencies recognise the need to be able to locate official records on or off-site. 	
Level 2: <i>Awareness of the Need for Good Practice</i> <ul style="list-style-type: none"> • CE and Senior Management recognise the need for appropriate tools to effectively track records. 	
Level 3: <i>Defining and Documenting Good Practice</i> <ul style="list-style-type: none"> • An inventory of official records and their location whether they are active, semi-active or inactive exist. • Responsibility for record location is assigned at a whole-of-agency level to the Records Manager. 	
Level 4: <i>Establishing Consistent Good Practice</i> <ul style="list-style-type: none"> • Procedures are in place to manage the storage, transfer and disposal of records. • On-site storage facilities comply with the State Records standards • Off-site storage facilities are provided by a “compliant” ASP • Responsibility for storage at a workgroup level is assigned to an accredited Records Management practitioner. • Record locations are managed by the corporate recordkeeping system. • The agency controls the location of official records it receives within the corporate recordkeeping system. • The location of records can be identified in the corporate recordkeeping system. • Individuals are able to locate records using the corporate recordkeeping system. • Records related to administrative change are administered according to relevant standards and guidelines <p style="text-align: right; margin-top: 10px;">*Adequate level for this outcome</p>	

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<p>Level 5: <i>Breaking Through to Best Practice</i></p> <ul style="list-style-type: none">• The ability to locate records is monitored and routinely audited.• The application of standard classification systems for uniquely identifying records is routinely monitored across the agency.	
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Outcome 6 – Reliability of Records

<u>RELIABILITY OF RECORDS</u>	
Agencies shall implement measures to ensure the reliability of their official records as evidence of their business.	
Indicate the method(s) used to determine your current assessed level:	
<i>Levels of Achievement</i>	<i>Evidence of current assessed position</i>
Level 1: <i>Records Management Baseline</i> <ul style="list-style-type: none"> • Agencies view reliability of records as a priority. 	
Level 2: <i>Awareness of the Need for Good Practice</i> <ul style="list-style-type: none"> • CE and Senior Management recognise that official records need to be reliable, evidential, secure and inviolate to meet business and accountability needs. 	
Level 3: <i>Defining and Documenting Good Practice</i> <ul style="list-style-type: none"> • Electronic records are captured and stored in such a way that users have read-only access. • All official records, (regardless of format or media) are managed so they cannot be altered or deleted without due permission. • Versions of hardcopy and electronic records are managed. • Recordkeeping systems and storage facilities are protected from unauthorised access, destruction or theft or from accidental damage by fire, flood or vermin. 	
Level 4: <i>Establishing Consistent Good Practice</i> <ul style="list-style-type: none"> • The authority to alter or correct records is assigned at a whole-of-agency level to the Records Manager. • The responsibility for reliability of records is assigned to the Records Manager. • Procedures have been developed to report when records have been altered or updated without approval. • A process exists requiring Senior Management to authorise remedial action following unauthorised alterations. • An approved security model exists to govern all users' access of the EDRMS. • Risk mitigation is included in the agency's records management plan. • The authority to certify reliability of records has been assigned at a whole-of-agency level to the Records Manager. <p style="text-align: right;"><i>*Adequate level for this outcome</i></p>	

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<p>Level 5: <i>Breaking Through to Best Practice</i></p> <ul style="list-style-type: none">• Audit trails for unauthorised access or alteration to all official records are managed.• Audit trails are routinely checked and corrective action taken accordingly.	
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Outcome 7 - Planning

<u>PLANNING</u>	
Records management shall be managed and planned in a strategic and corporate manner	
Indicate the method(s) used to determine your current assessed level:	
<i>Levels of Achievement</i>	<i>Evidence of current assessed position</i>
Level 1: <i>Records Management Baseline</i> <ul style="list-style-type: none"> • Records Management is viewed by the Agency as core business. 	
Level 2: <i>Awareness of the Need for Good Practice</i> <ul style="list-style-type: none"> • CE and Senior Management recognise that a strategic approach to Records Management is required. 	
Level 3: <i>Defining and Documenting Good Practice</i> <ul style="list-style-type: none"> • A register of recordkeeping systems exists • New Line-Of-Business systems are required to include Records Management functionality as a selection criterion. • The responsibility for management and planning of all official records at a whole-of-agency level is assigned to the Records Manager. 	
Level 4: <i>Establishing Consistent Good Practice</i> <ul style="list-style-type: none"> • Plans are in place for an EDRMS that meets State Records compliance requirements. • Records Management deliverables and objectives are clearly defined for the immediate planning period (1-2 years). • The responsibility for management of all official records is assigned at a whole-of-agency level to the Records Manager. 	
Level 5: <i>Breaking Through to Best Practice</i> <ul style="list-style-type: none"> • The agency's strategic / business plan references Records Management outputs and outcomes. • The corporate Records Management plan applies to all official records regardless of format. • The approved Records Management plan is regularly reviewed by Senior Management. • Vital records register is developed and managed. • A disaster recovery plan for official records is implemented and regularly reviewed. • The EDRMS is able to interrogate Line-of-Business systems. • The responsibility for management of all official records created and/or received by an individual is assigned. <p style="text-align: right; margin-right: 20px;"><i>*Adequate level for this outcome</i></p>	

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Outcome 8 - Training

<p><u>TRAINING</u></p> <p>All staff within agencies shall receive training on records management as outlined In the agency’s records management training plan</p>	
Indicate the method(s) used to determine your current assessed level:	
<i>Levels of Achievement</i>	<i>Evidence of current assessed position</i>
<p>Level 1: <i>Records Management Baseline</i></p> <ul style="list-style-type: none"> • Agencies view Records Management training as a necessary requirement. 	
<p>Level 2: <i>Awareness of the Need for Good Practice</i></p> <ul style="list-style-type: none"> • CE and Senior Management view Records Management skills for all staff as necessary. 	
<p>Level 3: <i>Defining and Documenting Good Practice</i></p> <ul style="list-style-type: none"> • The agency conducts a gap analysis of the skills of Records Management practitioners according to State Records requirements. Records Management requirements are assessed for all remaining staff. • The principles of Adequate Records Management are incorporated into agency induction programs. Records Management requirements are assessed for all remaining staff. • Records Management responsibility statements are included in all job and person specifications. 	
<p>Level 4: <i>Establishing Consistent Good Practice</i></p> <ul style="list-style-type: none"> • A Records Management Training Plan is implemented and maintained. • Staff receive training in: <ul style="list-style-type: none"> - the Government’s Records Management Framework - the agency’s Records Management policies, procedures and practices - Records Management roles and responsibilities, tools and systems (thesaurus and EDRMS) • The responsibility for Records Management training is assigned at a whole-of agency level to the Records Manager. • Records Management training requirements are reviewed regularly. <p style="text-align: right;">*Adequate level for this outcome</p>	
<p>Level 5: <i>Breaking Through to Best Practice</i></p> <ul style="list-style-type: none"> • Records Management training and skills are auditable against the Across-Government Accredited Training and Education Strategy. 	

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Outcome 9 - Reporting

<p><u>REPORTING</u></p> <p>Agencies shall implement reporting mechanisms and progress in order to keep senior management informed about records management</p>	
Indicate the method(s) used to determine your current assessed level:	
<i>Levels of Achievement</i>	<i>Evidence of current assessed position</i>
<p>Level 1: <i>Records Management Baseline</i></p> <ul style="list-style-type: none"> • Agencies view the reporting of Records Management outputs as necessary. 	
<p>Level 2: <i>Awareness of the Need for Good Practice</i></p> <ul style="list-style-type: none"> • CE and Senior Management recognise the need for Records Management reporting in the agency. 	
<p>Level 3: <i>Defining and Documenting Good Practice</i></p> <ul style="list-style-type: none"> • Reporting requirements are defined and documented. • Reviews of various Records Management practices are reported to Senior Management. • Responsibility for reporting is assigned at a whole-of-agency level to the Records Manager. 	
<p>Level 4: <i>Establishing Consistent Good Practice</i></p> <ul style="list-style-type: none"> • Regular review reports on Records Management practices are received by Senior Management. • Benchmarks are developed for measuring Records Management operational effectiveness. <p style="text-align: right;"><i>*Adequate level for this outcome</i></p>	
<p>Level 5: <i>Breaking Through to Best Practice</i></p> <ul style="list-style-type: none"> • The agency benchmarks its recordkeeping program to the Government's Records Management Framework. • Managers are accountable for Records Management objectives being met and ensuring performance levels are reported. 	

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Outcome 10 – Policies, Procedures & Practices

<u>POLICIES PROCEDURES & PRACTICES</u>	
All agencies shall develop and implement records management policies, procedures and practices.	
Indicate the method(s) used to determine your current assessed level:	
<i>Levels of Achievement</i>	<i>Evidence of current assessed position</i>
Level 1: <i>Records Management Baseline</i> <ul style="list-style-type: none"> • The agency views Records Management policies, procedures and practices as necessary. 	
Level 2: <i>Awareness of the Need for Good Practice</i> <ul style="list-style-type: none"> • CE and Senior Management recognise that policies, procedures and practices are an integral part of a Records Management program. 	
Level 3: <i>Defining and Documenting Good Practice</i> <ul style="list-style-type: none"> • A gap analysis is conducted to determine what policies, procedures and practices are required • A review of existing policies and practices is conducted to determine the degree of comprehensiveness and effectiveness. 	
Level 4: <i>Establishing Consistent Good Practice</i> <ul style="list-style-type: none"> • Responsibility for the development and review of policies and procedures is assigned at a whole-of-agency level to the Records Manager. • Version control over policies and procedures is implemented and maintained. • Policies and procedures are distributed to all staff. 	
Level 5: <i>Breaking Through to Best Practice</i> <ul style="list-style-type: none"> • Approved policies, procedures and practices are implemented and regularly reviewed by Senior Management. <p style="text-align: right; margin-top: 5px;"><i>*Adequate level for this outcome</i></p>	

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Outcome 11 – Resourcing

<u>Resourcing</u> Resources are engaged to incrementally improve recordkeeping tools, systems and practices	
Indicate the method(s) used to determine your current assessed level:	
<i>Levels of Achievement</i>	<i>Evidence of current assessed position</i>
Level 1: <i>Records Management Baseline</i> <ul style="list-style-type: none"> • The agency views Records Management resourcing as necessary to deliver its recordkeeping program. 	
Level 2: <i>Awareness of the Need for Good Practice</i> <ul style="list-style-type: none"> • CE and Senior Management are committed to establishing Records Management roles with appropriately qualified and knowledgeable practitioners • The agency has benchmarked its Records Management resourcing levels according to State Records' Records Management Classification Equity and Resourcing Benchmarks Guideline. 	
Level 3: <i>Defining and Documenting Good Practice</i> <ul style="list-style-type: none"> • The agency has defined the Records Management roles (number, qualifications and classification) in order to meet its legislative, risk and business requirements • Funding proposals have been approved to establish the required positions within the agency • A reporting governance framework has been established in which Records Management practitioners will operate. 	
Level 4: <i>Establishing Consistent Good Practice</i> <ul style="list-style-type: none"> • The agency has appointed appropriately qualified Records Management practitioners for all defined roles • Records Management staff are appropriately remunerated according to the outputs they deliver • Responsibility for Records Management tasks has been devolved to the appropriate Records Management practitioner <p style="text-align: right; margin-top: 5px;">*Adequate level for this outcome</p>	
Level 5: <i>Breaking Through to Best Practice</i> <ul style="list-style-type: none"> • The agency has established mentoring and succession plans and programs for its Records Management practitioners • The current resourcing levels and quality of personnel have and continue to sustain incremental improvement in the agency's strategic and operational recordkeeping program. 	

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Progress Chart

Please map your current assessed level for all 11 outcomes on the progress chart by placing the corresponding outcome numbers in the relevant box.

For example:

	Jun 05
Level 5	
Level 4	
Level 3	3
Level 2	1, 2, 4, 6, 8, 9
Level 1	5, 7, 10, 11

Progress Chart				
Identify where your agency is now				
	June 05	June 06	June 07	June 08
Level 5				
Level 4				
Level 3				
Level 2				
Level 1				

Indicate where you assessed your agency for each of the 11 Records Management outcomes as at June 2006

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Attachment 3 –Assessment Evidence Toolkit

State Records has prepared an *Evidence Toolkit* to assist agencies identify and collate the supporting documentation required to substantiate their Assessment scores against each of the 11 Outcomes. A *Records Management Audit Policy and Guideline* has also been developed to assist Records Managers prepare for an annual review and assessment of their agencies recordkeeping systems, tools and practices in accordance with the *State Records Act 1997, Part 5, 15*.

Agencies are required to have available for the Auditor the following documentation:

- ▶ Details of the approach taken and the qualifications of the author that prepared the agency's Assessment report
- ▶ A copy of the score awarded to each of the eleven Outcomes in the Assessment Matrix along with the relevant evidence to substantiate the score
- ▶ Details of the tasks the agency plans to action for the following financial year to improve their recordkeeping systems, tools, practices and resources.

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Outcome 1 – Creation of Records

<u>CREATION OF RECORDS</u>	
Official records are created in all appropriate circumstances	
Indicate the method(s) used to determine your current assessed level:	
<i>Levels of Achievement</i>	<i>Evidence of current assessed position</i>
Level 1: Records Management Baseline <ul style="list-style-type: none"> • The creation of official records required under legislation and evidence of business occurs. 	
Level 2: Awareness of the Need for Good Practice <ul style="list-style-type: none"> • CE and Senior Management view the creation of official records as necessary for documenting and facilitating the transaction of business. 	
Level 3: Defining and Documenting Good Practice <ul style="list-style-type: none"> • Legislative and business requirements for creation are documented • The agency clearly differentiates between official records and non-official personal records. • Official records are created for all transactions • The functions and activities of the agency are identified and documented within a Business Classification Scheme. • Responsibility for creation at a whole-of-agency level is assigned. 	<ul style="list-style-type: none"> • Business analysis; identification of records required; business process or workflow mapping, risk assessment • Policy clearly stating specific guidelines and instructions; induction training; awareness training; limited capacity folders allowing personal storage. • Workflow mapping; system generated records; guidelines; process mapping for "advice" or records of discussion • Business analysis; thesaurus; operational functional classification scheme. • Policy; records management strategy; role and responsibility statements; information management strategy.
Level 4: Establishing Consistent Good Practice <ul style="list-style-type: none"> • A register of official records required by the agency is developed and maintained. • Responsibility for creation at a workgroup level is assigned. • Business processes are reviewed to map creation requirements. • Staff are informed of their obligations and need to create records. <p style="text-align: right; margin-right: 20px;">*Adequate level for this outcome</p>	<ul style="list-style-type: none"> • Register; business analysis; proforma templates; metadata compliant corporate templates for all word-processing. • Policy; job and person specifications; assignment in the records register; instruction at a workgroup level; delegation manual. • Process mapping; currency of review; risk assessment identifying business critical records. • Systematic awareness training from State Records; awareness of policy; access through intranet.
Level 5: Breaking Through to Best Practice <ul style="list-style-type: none"> • The creation of official records is routinely monitored and corrective action taken accordingly. • Responsibility for creation at an individual position level is assigned. 	<ul style="list-style-type: none"> • Record of corrective action; internal quality assurance procedures. • Performance reviews; documented internal processes; job and person specifications; internal audit report.

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Outcome 2 – Capture of Records

<p style="margin: 0;"><u>CAPTURE OF RECORDS</u></p> <p style="margin: 0;">Official records are captured into corporate recordkeeping systems upon creation or receipt or as soon as practicable afterwards</p>	
Indicate the method(s) used to determine your current assessed level:	
<i>Levels of Achievement</i>	<i>Evidence of current assessed position</i>
<p>Level 1: <i>Records Management Baseline</i></p> <ul style="list-style-type: none"> • The capturing of official records is perceived as a priority within an agency. 	
<p>Level 2: <i>Awareness of the Need for Good Practice</i></p> <ul style="list-style-type: none"> • CE and Senior Management recognise the need for corporate recordkeeping system to effectively capture official records. 	
<p>Level 3: <i>Defining and Documenting Good Practice</i></p> <ul style="list-style-type: none"> • The use of and existence of personal recordkeeping systems is prohibited for the capture of official records. • Responsibility for capture at a whole-of-agency level is assigned. • A corporate recordkeeping system is in place. 	<ul style="list-style-type: none"> • Business analysis showing data stores; register of recordkeeping systems; controls restricting creation of recordkeeping systems • Policy; records management strategy; role and responsibility statements; information management strategy. • Recordkeeping system is administered.
<p>Level 4: <i>Establishing Consistent Good Practice</i></p> <ul style="list-style-type: none"> • A compliant EDRMS is implemented and maintained. • Responsibility for capture of official records is assigned at a workgroup level. • Business processes are reviewed to map capture requirements. • Staff are informed of their obligations regarding official record capture. • Staff actively capture records relevant to their business activities and responsibilities within the agency into the corporate recordkeeping system. • Official records are assigned unique identifiers. • The Business Classification Scheme is implemented for the capture of official records. <p style="text-align: right; font-size: small;"><i>*Adequate level for this outcome</i></p>	<ul style="list-style-type: none"> • Register of recordkeeping systems; business analysis showing data stores. • Policy; records management strategy; role and responsibility statements; information management strategy; delegation manual. • Process mapping; currency of review; risk assessment identifying business critical records. • Systematic awareness training from State Records; awareness of policy; access through intranet. • Functional classification scheme; user permissions; awareness and documentation of corporate recordkeeping systems. • Official recordkeeping system generating unique id. • Functional classification scheme; policy and procedure.

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<p>Level 5: <i>Breaking Through to Best Practice</i></p> <ul style="list-style-type: none">• The capture of official records is routinely monitored and corrective action taken accordingly.• Non-official records are not captured into appropriate recordkeeping system.• Responsibility for capture at an individual position level is assigned.• The Business Classification Scheme is routinely monitored across the agency.• Line of Business applications interface to the corporate recordkeeping system.	<ul style="list-style-type: none">• Internal audit documentation; quality management program.• Controls restricting creation of recordkeeping systems; personal stores and guidelines for use.• Performance reviews; documented internal processes; job and person specifications; internal audit report.• Functional classification scheme; business process mapping and revisions; internal quality program.• Line of Business applications can be interrogated via the EDRMS Portal.
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Outcome 3 – Disposal of Records

<u>DISPOSAL OF RECORDS</u> All official records of the agency are disposed of in accordance with provisions of the State Records Act 1997	
Indicate the method(s) used to determine your current assessed level:	
<i>Levels of Achievement</i>	<i>Evidence of current assessed position</i>
Level 1: <i>Records Management Baseline</i> <ul style="list-style-type: none"> • The sentencing of official records is perceived as a priority in an agency. 	
Level 2: <i>Awareness of the Need for Good Practice</i> <ul style="list-style-type: none"> • CE and Senior Management recognise the need for records to be sentenced • Agencies are aware of their disposal responsibilities in accordance with the State Records Act 1997. • All staff are aware of disposal authorities - both general and operational. 	
Level 3: <i>Defining and Documenting Good Practice</i> <ul style="list-style-type: none"> • A register of approved operational disposal schedules is maintained. • Agencies identify and document which records are not covered by current disposal schedules. • Responsibility for disposal at a whole-of-agency level is assigned to the Records Manager. • A disposal program is developed 	<ul style="list-style-type: none"> • Register of schedules • List of record series not covered by RDS; document for updating RDS; business analysis showing likelihood of RDS quality. • Policy; records management strategy; role and responsibility statements; information management strategy. • Approved disposal program
Level 4: <i>Establishing Consistent Good Practice</i> <ul style="list-style-type: none"> • Agencies develop new disposal schedules to cover all operational records. • Agencies apply the relevant GDS and RDS to official administrative and operational records. • Where disposal has not occurred, backlog sentencing is conducted and permanent and temporary records are identified. • A disposal program is commenced. 	<ul style="list-style-type: none"> • RDS and update documentation; document for updating RDS; business analysis showing likelihood of RDS quality. • Intention to destroy reports; creation screens with disposal metadata; list of record transfers; report of disposal actions. • Sentencing lists; intention to destroy reports. • Procedures; documentation; correspondence with State Records for transfer.

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<p>Level 5: <i>Breaking Through to Best Practice</i></p> <ul style="list-style-type: none">• Responsibility for disposal at an individual level is assigned.• All official records are covered by disposal schedules.• Routine sentencing and disposal programs are followed. • The disposal program is coordinated and authorised.• No illegal destruction occurs. • A record is kept for records destroyed.• Business processes are reviewed to map disposal requirements.• Mandatory transfer of permanent records is undertaken <p><i>*Adequate level for this outcome</i></p>	<ul style="list-style-type: none">• Performance reviews; documented internal processes; job and person specifications; internal audit reports.• RDS update documentation; revisions of RDS.• Procedures; regular sentencing reports; regular transfer and destruction documentation.• State Records accreditation; process documentation.• Approved intention to destroy lists; evidence of prohibited systematic e-mail destruction; reports of records missing.• Approvals and records of destruction.• Revised business process mapping. • Copies of State Records transfer approvals
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Outcome 4 – Access to Records

<p><u>ACCESS TO RECORDS</u></p> <p>All access to official records takes place in a managed manner using prescribed policies and procedures.</p>	
Indicate the method(s) used to determine your current assessed level.	
<i>Levels of Achievement</i>	<i>Evidence of current assessed position</i>
<p>Level 1: <i>Records Management Baseline</i></p> <ul style="list-style-type: none"> Agencies view access to records as a priority. 	
<p>Level 2: <i>Awareness of the Need for Good Practice</i></p> <ul style="list-style-type: none"> CE and Senior Management are aware of legislation relating to access, Freedom of Information and Information Privacy Principles. 	
<p>Level 3: <i>Defining and Documenting Good Practice</i></p> <ul style="list-style-type: none"> Access requirements for certain records are identified and documented (e.g. Privacy, commercial in confidence). Responsibility for official record access is assigned at a whole-of-agency level. 	<ul style="list-style-type: none"> Security model. Policy; records management strategy; role and responsibility statements; information management strategy.
<p>Level 4: <i>Establishing Consistent Good Practice</i></p> <ul style="list-style-type: none"> Responsibility for access is assigned at the workgroup level. Accredited records management practitioners and / or freedom of information officers assess requests for access. Security issues are identified and documented by EDRMS administrators. Appropriate security classifications (clearances) are assigned by corporate recordkeeping administrators to all staff for accessing official records. Commercial confidentiality agreements are identified and documented. The Records Manager develops processes for seeking legal advice where access may expose the agency to legal liabilities and administered. <p style="text-align: right;"><i>*Adequate level for this outcome</i></p>	<ul style="list-style-type: none"> Policy; records management strategy; role and responsibility statements; information management strategy; delegation manual. Accredited Officers eg FOI officer; internal process documentation with responsibilities. Reports; audit trails. User permission documentation; security model; links to business classification scheme. Security model defining confidentiality; documentation or register of agreements. Legal opinion; process documentation; procedure to trigger legal advice; risk assessment identifying procedure.

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<p>Level 5: <i>Breaking Through to Best Practice</i></p> <ul style="list-style-type: none">• Access determinations for all official records are developed by the agency according to SA Government standards and guidelines.• Access determinations are developed for official records already in the custody of State Records.• FOI Statements are forwarded to State Records.• Information Privacy Principles are implemented and adhered to for all official records.	<ul style="list-style-type: none">• Documented access determinations approved by State Records.• Copies of access determinations maintained• Exception report from State Records.• Security model; audit trails.
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Outcome 5 – Locatability of Records

<u>LOCATABILITY OF RECORDS</u>	
Specific official records can be found upon demand or with the minimum extra effort	
Indicate the method(s) used to determine your current assessed level:	
<i>Levels of Achievement</i>	<i>Evidence of current assessed position</i>
Level 1: <i>Records Management Baseline</i> <ul style="list-style-type: none"> • Agencies recognise the need to be able to locate official records on or off-site. 	
Level 2: <i>Awareness of the Need for Good Practice</i> <ul style="list-style-type: none"> • CE and Senior Management recognise the need for appropriate tools to effectively track records. 	
Level 3: <i>Defining and Documenting Good Practice</i> <ul style="list-style-type: none"> • An inventory of official records and their location whether they are active, semi-active or inactive exist. • Responsibility for record location is assigned at a whole-of-agency level to the Records Manager. 	<ul style="list-style-type: none"> • Inventory produced from register • Policy; records management strategy; role and responsibility statements; information management strategy.
Level 4: <i>Establishing Consistent Good Practice</i> <ul style="list-style-type: none"> • Procedures are in place to manage the storage, transfer and disposal of records. • On-site storage facilities comply with the State Records standards • Off-site storage facilities are provided by a “compliant” ASP • Responsibility for storage at a workgroup level is assigned to an accredited Records Management practitioner. • Record locations are managed by the corporate recordkeeping system. • The agency controls the location of official records it receives within the corporate recordkeeping system. • The location of records can be identified in the corporate recordkeeping system. • Individuals are able to locate records using the corporate recordkeeping system. • Records related to administrative change are administered according to relevant standards and guidelines <p style="text-align: right; margin-right: 20px;">*Adequate level for this outcome</p>	<ul style="list-style-type: none"> • Documented procedures; transfer of permanent records to State Records; destruction lists. • Independent assessment of storage facilities; documentation aligning storage with the standard. • ASP contract • Policy; records management strategy; role and responsibility statements; information management strategy; delegation manual. • Recordkeeping system; controls - numbering, registers, locations, procedures; reports. • Provenance records; recordkeeping system. • Metadata providing use history reports; location reports for any records. • All staff are trained to access the EDRMS • Security model; responsibility statement.

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Level 5: *Breaking Through to Best Practice*

- | | |
|---|--|
| <ul style="list-style-type: none">• The ability to locate records is monitored and routinely audited.• The application of standard classification systems for uniquely identifying records is routinely monitored across the agency. | <ul style="list-style-type: none">• Internal audit trails; FOI search reports.• Functional classification scheme; business process mapping and revisions; internal quality program. |
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Outcome 6 – Reliability of Records

<u>RELIABILITY OF RECORDS</u>	
Agencies shall implement measures to ensure the reliability of their official records as evidence of their business.	
Indicate the method(s) used to determine your current assessed level:	
<i>Levels of Achievement</i>	<i>Evidence of current assessed position</i>
Level 1: <i>Records Management Baseline</i> <ul style="list-style-type: none"> • Agencies view reliability of records as a priority. 	
Level 2: <i>Awareness of the Need for Good Practice</i> <ul style="list-style-type: none"> • CE and Senior Management recognise that official records need to be reliable, evidential, secure and inviolate to meet business and accountability needs. 	
Level 3: <i>Defining and Documenting Good Practice</i> <ul style="list-style-type: none"> • Electronic records are captured and stored in such a way that users have read-only access. • All official records (regardless of format or media) are managed so they cannot be altered or deleted without due permission. • Versions of hardcopy and electronic records are managed. • Recordkeeping systems and storage facilities are protected from unauthorised access, destruction or theft or from accidental damage by fire, flood or vermin. 	<ul style="list-style-type: none"> • Recordkeeping system; storage formats - PDF or similar. • Version control in recordkeeping system; corporate templates; audit trails for modifications. • Version control in recordkeeping system • Current contingency plan; security model; State Records toolkit; audit trails.
Level 4: <i>Establishing Consistent Good Practice</i> <ul style="list-style-type: none"> • The authority to alter or correct records is assigned at a whole-of-agency level to the Records Manager. • The responsibility for reliability of records is assigned to the Records Manager. • Procedures have been developed to report when records have been altered or updated without approval. • A process exists requiring Senior Management to authorise remedial action following unauthorised alterations. • An approved security model exists to govern all users' access of the EDRMS. • Risk mitigation is included in the agency's records management plan. • The authority to certify reliability of records has been assigned at a whole-of-agency level to the Records Manager. <p style="text-align: right; margin-top: 10px;"><i>*Adequate level for this outcome</i></p>	<ul style="list-style-type: none"> • Policy; FOI officer or system administrator accreditation; official procedure. • Specific delegation documentation. • Procedures; automatic reporting ability. • Risk management plan references records management. • Security model; user permissions. • Records management plan. • Specific delegations documentation.

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<p>Level 5: <i>Breaking Through to Best Practice</i></p> <ul style="list-style-type: none">• Audit trails for unauthorised access or alteration to all official records are managed.• Audit trails are routinely checked and corrective action taken accordingly.	<ul style="list-style-type: none">• Audit trail reports; records of monitoring and checking.• Records of monitoring and checking audit trails; records of corrective action.
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Outcome 7 - Planning

<u>PLANNING</u> Records management shall be managed and planned in a strategic and corporate manner	
Indicate the method(s) used to determine your current assessed level:	
<i>Levels of Achievement</i>	<i>Evidence of current assessed position</i>
Level 1: <i>Records Management Baseline</i> <ul style="list-style-type: none"> • Records Management is viewed by the agency as core business. 	
Level 2: <i>Awareness of the Need for Good Practice</i> <ul style="list-style-type: none"> • CE and Senior Management recognise that a strategic approach to Records Management is required. 	
Level 3: <i>Defining and Documenting Good Practice</i> <ul style="list-style-type: none"> • A register of recordkeeping systems exists. • New Line-Of-Business systems are required to include Records Management functionality as a selection criterion. • The responsibility for management and planning of all official records at a whole-of-agency level is assigned to the Records Manager. 	<ul style="list-style-type: none"> • Survey or similar • Functional specifications; planning documentation; documentation cross-referenced to the standards. • Policy; records management strategy; role and responsibility statements; information management strategy.
Level 4: <i>Establishing Consistent Good Practice</i> <ul style="list-style-type: none"> • Plans are in place for an EDRMS that meets State Records compliance requirements. • Records Management deliverables and objectives are clearly defined for the immediate planning period (1-2 years). • The responsibility for management of all official records is assigned at a whole-of-agency to the Records Manager. 	<ul style="list-style-type: none"> • Procurement from the EDRMS Panel; Indicative plans. • Records management strategy; documented key performance indicators. • Policy; records management strategy; role and responsibility statements; information management strategy; delegation manual.

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Level 5: *Breaking Through to Best Practice*

- The agency's strategic / business plan references Records Management outputs and outcomes.
- The corporate Records Management plan applies to all official records regardless of format.
- The approved Records Management plan is regularly reviewed by Senior Management.
- Vital records register is developed and managed.
- A disaster recovery plan for official records is implemented and regularly reviewed.
- The EDRMS is able to interrogate Line-of-Business systems.
- The responsibility for management of all official records created and/or received by an individual is assigned

**Adequate level for this outcome*

- Strategic plan; business plan; records management plan; information management plan.
- Records management plan as a controlled document.
- Records management plan with specific detail and prescription.
- Register of vital records; statement in RM plan.
- Disaster recovery plan; contingency plan.
- System specifications referencing State Records standards.
- Delegation documentation; performance reviews; documented internal processes; job and person specifications; internal audit report.

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Outcome 8 - Training

<p style="margin: 0;"><u>TRAINING</u></p> <p style="margin: 0;">All staff within agencies shall receive training on records management as outlined In the agency’s records management training plan</p>	
Indicate the method(s) used to determine your current assessed level:	
<i>Levels of Achievement</i>	<i>Evidence of current assessed position</i>
<p>Level 1: <i>Records Management Baseline</i></p> <ul style="list-style-type: none"> • Agencies view Records Management training as a necessary requirement. 	
<p>Level 2: <i>Awareness of the Need for Good Practice</i></p> <ul style="list-style-type: none"> • CE and Senior Management view records management skills for all staff as necessary. 	
<p>Level 3: <i>Defining and Documenting Good Practice</i></p> <ul style="list-style-type: none"> • The agency conducts a gap analysis of the skills of Records Management practitioners according to State Records requirements. Records Management requirements are assessed for all remaining staff. • The principles of Adequate Records Management have been incorporated into agency induction programs. • Records Management responsibility statements are included in all job and person specifications. 	<ul style="list-style-type: none"> • Induction documentation referencing adequate records management. • Induction program • Position descriptions and job and person specifications.
<p>Level 4: <i>Establishing Consistent Good Practice</i></p> <ul style="list-style-type: none"> • A Records Management Training Plan is implemented and maintained. • Staff receive training in: <ul style="list-style-type: none"> - the Government’s Records Management Framework - the agency’s Records Management policies, procedures and practices - Records Management roles and responsibilities, tools and systems (thesaurus and EDRMS) • The responsibility for Records Management training is assigned at a whole-of-agency level to the Records Manager. • Records Management training requirements are reviewed regularly. <p style="text-align: right; margin-top: 5px;">*Adequate level for this outcome</p>	<ul style="list-style-type: none"> • Training plan. • Training documentation referencing the Records and Archives Competency Standard; delivery documentation; Attendee register for State Records training; competency checklists. • Training documentation with accreditation from State Records. • Documentation currency; review date; alignment with best practice.
<p>Level 5: <i>Breaking Through to Best Practice</i></p> <ul style="list-style-type: none"> • Records Management training and skills are auditable against the Across-Government Accredited Training and Education Strategy. 	<ul style="list-style-type: none"> • Training delivery documentation; trainee profiles; alignment with Records and Archives Competency Standard.

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Outcome 9 - Reporting

<p><u>REPORTING</u></p> <p>Agencies shall implement reporting mechanisms and progress in order to keep senior management informed about records management</p>	
Indicate the method(s) used to determine your current assessed level:	
<i>Levels of Achievement</i>	<i>Evidence of current assessed position</i>
<p>Level 1: <i>Records Management Baseline</i></p> <ul style="list-style-type: none"> • Agencies view the reporting of Records Management outputs as necessary. 	
<p>Level 2: <i>Awareness of the Need for Good Practice</i></p> <ul style="list-style-type: none"> • CE and Senior Management recognise the need for Records Management reporting in the agency. 	
<p>Level 3: <i>Defining and Documenting Good Practice</i></p> <ul style="list-style-type: none"> • Reporting requirements are defined and documented. • Reviews of various Records Management practices are reported to Senior Management. • Responsibility for reporting is assigned at a whole-of-agency level to the Records Manager. 	<ul style="list-style-type: none"> • Signed off templates • Reports and remedial action files • Policy and procedure; delegations.
<p>Level 4: <i>Establishing Consistent Good Practice</i></p> <ul style="list-style-type: none"> • Regular review reports on Records Management practices are received by Senior Management. • Benchmarks are developed for measuring Records Management operational effectiveness. <p style="text-align: right;"><i>*Adequate level for this outcome</i></p>	<ul style="list-style-type: none"> • Reported transmission success and failure. • Performance measures; key performance indicators that meet benchmarks.
<p>Level 5: <i>Breaking Through to Best Practice</i></p> <ul style="list-style-type: none"> • The agency benchmarks its recordkeeping program to the Government's Records Management Framework. • Managers are accountable for Records Management objectives being met and ensuring performance levels are reported. 	<ul style="list-style-type: none"> • Improvement Matrix independent assessment. • Regular returns.

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Outcome 10 – Policies, Procedures & Practices

<u>POLICIES PROCEDURES & PRACTICES</u>	
All agencies shall develop and implement records management policies, procedures and practices.	
Indicate the method(s) used to determine your current assessed level:	
<i>Levels of Achievement</i>	<i>Evidence of current assessed position</i>
Level 1: <i>Records Management Baseline</i> <ul style="list-style-type: none"> The agency views Records Management policies, procedures and practices as necessary. 	
Level 2: <i>Awareness of the Need for Good Practice</i> <ul style="list-style-type: none"> CE and Senior Management recognise that policies, procedures and practices are an integral part of a Records Management program. 	
Level 3: <i>Defining and Documenting Good Practice</i> <ul style="list-style-type: none"> A gap analysis is conducted to determine what policies, procedures and practices are required. A review of existing policies and practices is conducted to determine the degree of comprehensiveness and effectiveness. 	<ul style="list-style-type: none"> Gap analysis documentation; review documentation; internal assessments. Survey documentation; alignment of adequacy standard to strategic outcomes in business plans or strategic plans.
Level 4: <i>Establishing Consistent Good Practice</i> <ul style="list-style-type: none"> Responsibility for the development and review of policies and procedures is assigned at a whole-of-agency level to the Records Manager. Version control over policies and procedures is implemented and maintained. Policies and procedures are distributed to all staff. 	<ul style="list-style-type: none"> Documented delegations. Footers; version register; EDRMS implemented agency-wide to manage all official records. Intranet delivery to all desktops; policy manuals with all users.
Level 5: <i>Breaking Through to Best Practice</i> <ul style="list-style-type: none"> Approved policies, procedures and practices are implemented and regularly reviewed by Senior Management. 	<ul style="list-style-type: none"> Procedures and policies specifying all formats; format listings; policy manuals with all users; policy and procedures register; regular review documentation.
<i>*Adequate level for this outcome</i>	

Adequate Records Management - Improvement Matrix and Evidence Toolkit

Guideline Valid 2004-12-01 / 2008-07-01

Outcome 11 – Resourcing

<p><u>Resourcing</u> Resources are engaged to incrementally improve recordkeeping tools, systems and practices</p>	
Indicate the method(s) used to determine your current assessed level:	
<i>Levels of Achievement</i>	<i>Evidence of current assessed position</i>
<p>Level 1: <i>Records Management Baseline</i></p> <ul style="list-style-type: none"> The agency views Records Management resourcing as necessary to deliver its recordkeeping program 	
<p>Level 2: <i>Awareness of the Need for Good Practice</i></p> <ul style="list-style-type: none"> CE and Senior Management are committed to establishing Records Management roles with appropriately qualified and knowledgeable practitioners The agency has benchmarked its Records Management resourcing levels according to State Records' Records Management Classification Equity and Resourcing Benchmarks Guideline. 	
<p>Level 3: <i>Defining and Documenting Good Practice</i></p> <ul style="list-style-type: none"> The agency has defined the Records Management roles (number, qualifications and classification) in order to meet its legislative, risk and business requirements Funding proposals have been approved to establish the required positions within the agency A reporting governance framework has been established in which Records Management practitioners will operate. 	<ul style="list-style-type: none"> Records Management Resourcing Report Approved funding Minute Director (sponsor) of Records Management function assigned
<p>Level 4: <i>Establishing Consistent Good Practice</i></p> <ul style="list-style-type: none"> The agency has appointed appropriately qualified Records Management practitioners for all defined roles Records Management staff are appropriately remunerated according to the outputs they deliver Responsibility for Records Management tasks has been devolved to the appropriate Records Management practitioner <p style="text-align: right;">*Adequate level for this outcome</p>	<ul style="list-style-type: none"> Qualified Records Management practitioners and professionals appointed Classification mirrors State Records benchmarks Records Manager/Strategist coordinating all recordkeeping tools, systems, practices and resources
<p>Level 5: <i>Breaking Through to Best Practice</i></p> <ul style="list-style-type: none"> The agency has established mentoring and succession plans and programs for its Records Management practitioners The current resourcing levels and quality of personnel have and continue to sustain incremental improvement in the agency's strategic and operational recordkeeping program. 	<ul style="list-style-type: none"> Approved current Plans 'Adequacy' status improving annually