

Appendix 4: Risk Assessment: Self Assessment

The assessment is divided into seven segments. Each segment corresponds with a suite of PROV recordkeeping Standards, Specifications and Guidelines. The current controls listed are records management activities and services that form part of an agency's records management programme. Where a tick appears in the column for a specific current control, it is expected that the agency will have developed and implemented the activity or service listed. The assessment is intended to act as a guide to enable agencies to identify which areas of records management will most likely be at risk.

No.	Statements (Yes / No)	Points (Circle if Yes)	Current Controls							
			RM Strategy	RM Policy	RM Procedures	RM Systems	Programme	Plan / Scheme	Communication	Assessment
Strategic Management										
1.1	The records management function is not strategically planned	0								
1.2	There are some procedures that govern records management, and some systems for managing records, but not all areas of the agency are covered and they do not cover the entire records management process.	1			✓					
1.3	There is an agency-wide process for managing records, but the process operates in isolation from the agency's strategic direction	2		✓						
1.4	Records management was strategically planned but it has not been reviewed or updated since it was issued.	3	✓		✓			✓		
1.5	Records management is strategically planned across the agency for all records in all systems, and the records management programme is regularly assessed for improvement	4	✓	✓	✓	✓	✓	✓	✓	✓
Operations Management										
2.1	Records management operations are ad hoc, or do not occur at all	0								
2.2	There are some procedures that govern records management, and some systems for managing records, but not all areas or records of the agency are covered and they do not cover the entire records management process.	1			✓					
2.3	There is an agency wide process for managing records, but that process has not been implemented and communicated across the agency	2			✓				✓	
2.4	There is an agency wide process for managing records, which includes communication and training for all agency staff on recordkeeping practice	3			✓	✓	✓	✓	✓	✓

No.	Statements (Yes / No)	Points (Circle if Yes)	Current Controls									
			RM Strategy	RM Policy	RM Procedures	RM Systems	Programme	Plan / Scheme	Communication	Assessment		
2.5	Strategic planning of records management has been translated across into operational plans, and systems, training has been implemented, and operations are regularly assessed for improvement	4	✓	✓	✓	✓	✓	✓	✓	✓	✓	
Capture												
3.1	Records are not systematically identified and captured into recordkeeping systems	0										
3.2	Some records are captured into recordkeeping systems, but there is no scheme in place to identify and capture all records that an agency should create and capture into recordkeeping systems to meet legislative, regulatory and business requirements	1		✓								
3.3	There is a process in place to capture all identified corporate records into a recordkeeping system, but not all agency corporate records have been identified	2		✓					✓			
3.4	There is a process in place to capture all identified corporate records into recordkeeping systems, and procedures in place for managing records captured in systems that do not have recordkeeping functionality	3		✓	✓	✓	✓	✓	✓	✓		
3.5	All agency records are identified, created, and are either captured into corporate recordkeeping systems or are managed by recordkeeping procedures and schemes, which are regularly assessed for improvement	4	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓
Control												
4.1	There are no recordkeeping controls in place at all	0										
4.2	Some recordkeeping controls are in place to classify and file records	1		✓					✓			
4.3	Recordkeeping controls in place cover all agency corporate records and records in all formats	2		✓	✓	✓	✓	✓	✓	✓	✓	✓
4.4	Recordkeeping controls in place cover all corporate records in all formats, and include file tracking as well as the classification and naming of records	3		✓	✓	✓	✓	✓	✓	✓	✓	✓
4.5	Recordkeeping controls are in place covering all corporate records in all systems and all formats, and controls are regularly upgraded and assessed for improvement	4	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓
Access												
5.1	There are no access provisions assigned to agency records at all	0										
5.2	A policy has been issued to direct action regarding access provisions for agency records	1		✓								
5.3	A policy, supported by procedures, has been implemented and communicated through the agency regarding access provisions for agency records	2		✓	✓	✓	✓	✓	✓	✓	✓	✓
5.4	Access provisions are implemented directly into business and recordkeeping systems, as well as being directed by policy and procedures, to prevent unauthorised access to agency records	3		✓	✓	✓	✓	✓	✓	✓	✓	✓
5.5	All agency records and systems have access provisions to ensure that all agency records in all formats are protected from unauthorised access, and those provisions are assessed regularly for improvement	4	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓
Storage												
6.1	There are no provisions in place for storage of agency records	0										
6.2	The agency has a special room, space, or drive dedicated to the storage of corporate records	1			✓							✓

No.	Statements (Yes / No)	Points (Circle if Yes)	Current Controls									
			RM Strategy	RM Policy	RM Procedures	RM Systems	Programme	Plan / Scheme	Communication	Assessment		
6.3	The agency has a secure location for the storage of corporate records.	2	✓	✓	✓	✓	✓	✓	✓	✓	✓	
6.4	The agency has a secure location for the storage of corporate records, and methods for the preservation of the records within storage including a disaster recovery or preparedness plan and / or a business continuity plan	3	✓	✓	✓	✓	✓	✓	✓	✓	✓	
6.5	The agency has a location and strategy for the secure storage, preservation and retrieval of records, including a disaster recovery and / or business continuity plan, which are assessed and inspected regularly for improvement	4	✓	✓	✓	✓	✓	✓	✓	✓	✓	
Disposal												
7.1	There is no disposal coverage or disposal programme for agency records	0										
7.2	There is some disposal coverage for common administrative records, but no disposal programme	1		✓				✓				
7.3	There is a disposal coverage for common administrative records and agency specific records but no disposal programme	2		✓	✓		✓	✓	✓		✓	
7.4	There is a disposal programme and disposal coverage, but it is not regularly administered	3		✓	✓	✓	✓	✓	✓	✓	✓	
7.5	There is a disposal programme and disposal coverage for all agency records in all formats, which is regularly administered, and regularly assessed for improvement	4	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓

Abbreviations / Terms Used

RM = Records Management

Corporate = Records of agency business, decisions and actions

Assessment Grid

The Recordkeeping Risk Assessment: Self Assessment grid (above) provides a quick spot check for the recordkeeping activities within an agency that might need further investigation. The list of controls provides anticipated activities or services that would be expected to be in place for the score provided (identified by a tick in the relevant box).

0 – 7	=	Red	=	High Risk
8 – 21	=	Yellow	=	Medium Risk
22 – 28	=	Green	=	Low Risk

Appendix 5: Risk Assessment Checklist

Step One: Establish Context

Question	Yes	No	Unsure	Comments
Is the agency currently complying with its legislative and regulatory requirements for recordkeeping?				
Does the agency understand its strategic imperatives regarding recordkeeping?				
Have the functions and activities that require records to be created and kept been identified?				
Does the agency create and keep the records identified as being required to cover its functions and activities?				
Is the agency sentencing its records in accordance with a current disposal authority (a Retention and Disposal Authority, Single Instance Disposal Authority, or in accordance with Normal Administrative Practice)?				
Is the agency disposing of its records appropriately?				
Is protection of records included in the agency's business continuity plans, disaster management plans, policies, and procedures?				
Are records management issues reported upon to the Executive Team and/or Senior Members of the agency?				
Have the existing controls for recordkeeping risks been identified?				
Is there an existing risk management framework that is used by the agency?				
Are records management policies, procedures and guidelines current and adhered to by all agency staff?				

Question	Yes	No	Unsure	Comments
Have all relevant stakeholders been identified and consulted regarding recordkeeping requirements, expectations and practice?				

Step Two: Identify Risks

Question	Yes	No	Unsure	Comments
Have risk categories been determined?				
Do the risk categories cover risk to all records in all formats?				
Have appropriate risk identification tools been identified and used?				
Have interviews with agency personnel and other relevant stakeholders been conducted?				
Have mechanisms for the continual identification of risk been developed and implemented?				
Have the recordkeeping risks been identified?				
Have the risks identified been described appropriately?				
Have the risks identified been recorded in the risk register?				

Step Three: Analyse Risks

Question	Yes	No	Unsure	Comments
Has sufficient information been gathered to analyse the identified recordkeeping risks?				
Have the consequences for each risk been described?				

Question	Yes	No	Unsure	Comments
Has a consequence table been determined?				
Has a likelihood table been determined?				
Has each risk been matched with a consequence rating?				
Has each risk been matched with a likelihood rating?				
Have the risk, consequence, sequence rating and likelihood rates been captured in the risk register?				

Step Four: Evaluate & Prioritise Risks

Question	Yes	No	Unsure	Comments
Has sufficient information been gathered to evaluate and prioritise the identified recordkeeping risks?				
Has a risk heat table to evaluate the level of risk been identified or developed?				
Have existing controls for the identified recordkeeping risks been taken into consideration				
Has the level of risk been determined for each risk?				
Has the level of risk been documented in the risk register?				
Have the risks been prioritised from high to low				

Step Five: Treat Risks

Question	Yes	No	Unsure	Comments
Have the risks been assessed to determine if they are acceptable or unacceptable?				
Have treatment options been identified for each risk?				
Have the treatment options been assessed to ensure that maximum use is made of the resources required?				
Have the treatment options been assessed to ensure the maximum use is made of the processes and services required to mitigate the identified recordkeeping risks				
Have treatment strategies been identified for each risk?				
Have the treatment options and strategies been captured in treatment plans?				
Has the information in the recordkeeping risk treatment plans been incorporated into the records management programme				

Step Six: Review & Monitor Risks

Question	Yes	No	Unsure	Comments
After testing the effectiveness of the risk treatment plan, does the risk require further treatment?				
After monitoring the utilisation of resources for the treatment of risks, is the need for resources greater for treating other risks?				
Are processes in place to continually monitor changes in risk levels (reflected in changes to risk ratings) over time?				
Have the stakeholders who need to be informed of the risk treatment process been identified and kept informed?				
Has the feedback received from stakeholders suggested who is responsible for risk treatments, what the timeframe for completion is likely to be, and what resources are available?				
Are the changes to risk ratings (risk levels) over time been communicated to stakeholders to determine further risk treatment decisions and identify successes in managing risk?				
Have internal audits or self-assessments of agency practice been regularly conducted to identify and report risk?				
Have routine operations been adjusted so that potential risks are determined and the progress of existing risk been reported?				