

# Meeting PROV Compliance Measures

## Developing Records Management Compliance Program

PO BOX 1370  
North Fitzroy  
3068

Toula Varvarigos  
Director of Assurance Services  
0409 814 286



# Session Outline

- What is the Compliance Principle?
- What are the compliance requirements?
- Benefits of compliance monitoring?
- What to monitor?
- Developing KPIs
- Reporting on KPIs
- Activity

# What is the Compliance Principle?

Principle: Recordkeeping frameworks, procedures and practices must be audited regularly to ensure the agency is operating in compliance with its recordkeeping procedures. (Operational Standard, section 2.4)

# What are the Compliance Requirements?

Requirement 16: The agency's records management programme is independently audited at least every five years to ensure compliance with cultural, agency, legislative and accountability requirements and corrective action is taken to address deficiencies where necessary.

Requirement 17: The agency will assess its internal business unit compliance with its records management policies, standards, procedures, training and systems at least every two years. Any high risk compliance breaches are reported to the executive. Corrective action is documented and implemented to address breaches.

Requirement 18: The agency shall implement reporting mechanisms and processes to keep the executive informed about records management.

PROS 10/10. Strategic Management, Specification 1, Section 2.2

# What are the Compliance Requirements (continued)?

| Requirement  | Examples of Evidence  |
|--|---|
| <p><b>16. Recordkeeping procedures to be assessed by internal or external audits have been identified.</b></p>                             | <p>Risk assessment report that identifies recordkeeping activities and sections, divisions or business units where there may be a potential compliance risk.</p> <p>Documented review of procedures based on feedback from training and awareness programs.</p> <p>Audit program.</p>                   |
| <p><b>17. A recordkeeping audit program has been developed and endorsed by the senior executive with recordkeeping responsibility.</b></p> | <p>Documented approval and correspondence from appropriate delegates. For example the senior records manager, steering committee, governance group, director, executive director or the head of agency.</p> <p>Endorsed version of the audit program.</p>   |
| <p><b>18. Recordkeeping audit procedures and criteria have been developed, and assessed following each audit.</b></p>                      | <p>Documented procedures outlining auditing steps and activities.</p> <p>Audit checklists.</p> <p>Audit program.</p> <p>Documented consultation and negotiation with divisional executives and key stakeholders to establish the audit schedule for specific areas, divisions, sections or business</p> |

# What are the Compliance Requirements – (continued)?

|  |  |
|--|--|
|  | <p>units.</p> <p>Intranet and email advice about workshops held to explain audit procedures, what is happening and when, and audit schedule advice for participants.</p> <p>Audit report.</p> <p>File notes on changes to audit schedule.</p>  |
| <p><b>19. Results of recordkeeping audits and any audit recommendations have been documented, presented and reported to senior executives and relevant stakeholders.</b></p> | <p>Audit report presented to senior executive and relevant stakeholders.</p> <p>Presentation of results.</p> <p>Correspondence to stakeholders.</p> <p>Audit action plan and item register.</p> <p>Correspondence to managers requesting actions on items listed as their responsibility, as documented in the audit action plan.</p> <p>Status reports.</p> |
| <p><b>20. The progress of recordkeeping audit recommendations are monitored and reported to senior executives.</b></p>   | <p>Correspondence to stakeholders.</p> <p>Audit action plan and item register from recommendations.</p> <p>Correspondence to managers requesting actions on items on audit action plan.</p> <p>Status reports.</p> <p>Schedule of workshops, seminars, refresher training to resolve action items.</p> <p>Final version of audit report.</p>                 |

## In a Nut Shell

Your organisation is responsible for:

- measuring and monitoring their recordkeeping performance for planning and improvement purposes
- ensuring they comply with the PROV associated standards, specifications and codes of best practice, and
- cooperating with monitoring compliance activities.

Never fear the end is near!





**What do you think are the benefits of undertaking a compliance regime?**



# What do you think are the benefits of undertaking a compliance regime?

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 complying 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 PROV recordkeeping Standards, specifications and other codes of best practice

# What mechanisms can we use?

- Self Assessment – e.g. IM3
- Third Party Assessment
- Internal Audit
- External Audit
- Regulatory Audit

Advantages / Disadvantages

# What to Monitor?

## Compliance monitoring

- Records Management Program
- Business Units

# Activity

Two Streams:

Stream A:

Audit Specification for Third Party Audit

Stream B:

Develop a framework for assessing a business unit

# What do with the findings?



