Meeting PROV Compliance Measures

Developing Records Management Key Performance Indicators (KPIs)

PO BOX 1370
North Fitzroy
3068

Toula Varvarigos
Director of Assurance Services
0409 814 286

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Session Outline

- What is the Compliance Measure?

- What are KPIs?

- KPI Characteristics

- Why do we need KPIs?

- Developing KPIs

- Reporting on KPIs

- Activity

What is the Compliance Measure?

Records management performance measures are identified, integrated in the agency's business and operational plans, and assessed for improvement each performance cycle. (Strategic Management PROS 10/10 S1, requirement 15.

What are Key Performance Indicators?

Key Performance Indicators (KPIs) are quantitative and qualitative measures used to review an organisation's progress against its goals. These are broken down and set as targets for achievement by departments and individuals. The achievement of these targets is reviewed at regular intervals. (PROS 10/10 G3, p6.)

What are Key Performance Indicators?

The following diagram illustrates the alignment of KPIs with an agency's strategic direction
(PROS 10/10 G3, p8)

The records management strategy should contain high level, strategic KPIs for recordkeeping across the agency.

The records management strategy should be in alignment with the strategic direction of the agency.

KPI Characteristics

a) Relevant and Consistent

b) Focused on Agency wide strategic value

c) Representative

d) Realistic

e) Specific

f) Attainable

g) Measurable

h) Used to identify trends

i) Timely

j) Understood

k) Agreed

l) Reported

m) Governed

n) Resourced

o) Assessed

p) May consist of direct or indirect indictors

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Need for Key Performance Indicators

- Development of 'benchmark' for like business functions, activities or services

- Use in individual staff performance appraisals

- Continuous improvement initiatives

- Balanced scorecard programs

- Demonstrating and attributing business value from services

- Decision making in terms of risks and issues, as well as for broader planning purposes

- Accreditation

- Evidence for a business case

- Raise the profile of records management

- Development of Service Level Agreements (SLAs)

- KPIs become part of the review processes of the agency

- Evidential based improvement or changes to service delivery

Developing KPIs

Method	Description
Statutory & Regulatory Requirements	It may be appropriate to focus selection of KPIs on statutory and regulatory requirements and obligations.
Lifecycle Approach	KPIs may be developed using the record lifecycle. The use of a lifecycle approach to developing KPIs would ensure an agency takes into account KPIs at all stages of the life of a record, from creation to disposal.
Risk Based	The risk based approach identifies those specific services, functions or activities that may have a negative or detrimental impact on the agency. By identifying areas of risk, KPIs could be used to measure progress towards mitigating the risk.
Cause & Effect	A suggested approach is to examine specific areas of concern using the cause and effect technique. The approach analyses the cause(s) of ineffective or inefficient services, functions or activities and identifies KPIs that address the effect. By addressing the effect, improvements can generally be achieved.
Strategic KPIs	Strategic KPIs should address the measurements required at a high level and take a top down approach. For example, strategic KPIs should address records management governance and accountability.
Operational KPIs	Operational KPIs should be approached from the ground up. At this level, KPIs measure functions and activities of an operational nature, such as the delivery of records management services.

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Developing KPIs

- Ensure KPIs are realistic, measurable and achievable.

- Narrowly focussed 'day-to-day' approaches should be avoided, fail to support overall business outcomes.

- Group KPIs into categories based on the agency's vision, strategy and objectives. (Optional)

  - Example Categories

    - Performance – services are relevant and appropriate to the organisation.

    - Reliability – service delivery is consistent, reliable, dependable and trustworthy.

    - Responsiveness and timeliness – responses to client requests and delivery of services are within timeframes and other measures.

    - Relationships – team members deliver services with tact, recognition, regard, and thoughtfulness.

    - Resources – time, budget and cost measures.

    - Secure – protect integrity and privacy of data.

Developing KPIs Example

4.3.   Responsiveness & Timeliness

Responses to client requests and delivery of services are within timeframes and other measures. Agencies may wish to separate this category into two parts – requests and delivery.

KPI	Benchmark	Possible Measures	Possible Target	Method	Responsible Owner	Frequency	Undertaken By
Requests from clients	Agreed response times for different request	Time	X% response within x time	System reports/logs across divisions	Records supervisor/ system supervisor	Monthly	Records manager
Delivery to clients	Agreed times for delivery of different service types	Time	X% delivery within x time and/or Maintain a minimum of X%	Survey and/or system reports/logs across divisions	Records supervisor/ system supervisor	Monthly	Records manager
Delivery to clients	Agreed times for delivery of different service types	By exception based on: Number of issues Number of incidents Number of complaints Number of suggestions	No more than x per month	Survey and/or system reports/logs across divisions	Records supervisor/ system supervisor	Monthly	Records manager
FOI requests	Agreed times to complete requests	FOI received FOI completed FOI lapsed FOI withdrawn FOI to complete	X% completed per month Others as reported.	Survey and/or system reports/logs	Records supervisor/ system supervisor	Monthly	Records manager or FOI manager
Retrieval of files/storage boxes	Agreed times to complete requests	Total file requested & retrieved on-site Total file requested & retrieved off-site Total boxes requested & retrieved off-site Cost	X% retrieved within x time and/or Maintain a minimum of X% Within +10% of budget	Survey and/or system reports/logs Invoices	Records supervisor/ system supervisor	Monthly Quarterly	Records manager

Reporting on KPIs

Example report – Strategic KPIs

(PROS 10/10 G3, p31)

Dashboard format reports can also be used for Strategic and Project KPI reporting.

Performance
Records Management Policy and Procedures
Current and up to date.
Last Review [Date] *Next Review* [Date]
Compliance
Last Audit [Date] *Next Audit* [Date]

Element	Resolution
IM framework established	x
Records management strategy or plan	x
Performance monitoring	x

Risk
(see table below)

Reliability
System Availability

Actual	Target
xx.x%	xx.x%

Help Desk

	Received	Resolved
Number of issues	x	x
Number of incidents	x	x
Number of complaints	x	x
Number of suggestions	x	x

Responsiveness & Timeliness (by exception)
x complaints during month – target x

Resources
Staff

Plan		Current	
x		x	

Cost & Budget

Mth costs actual	Mth cost tgt	Costs yr to date	Costs yr to date tgt	Budget variance
x	x	x	x	+/- x

Risk	Likelihood	Impact	Mitigate	Owner
Loss/compromise of sensitive documents	Likely	Major	Use approved security containers	Records Management
Use of incorrect document version	Almost certain	Moderate	X% of users on EDRMS by [date]	Records Management

Activity

Develop a Suite of KPIs

Group 1 - Operational Unit Managing Hardcopy

Group 2 - Operational Unit Managing EDRMS

Group 3 - Project EDRMS