



RECORDS MANAGEMENT COMPLIANCE FRAMEWORK- BUSINESS UNIT

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COMPLIANCE FRAMEWORK FOR CONDUCTING A RECORDS MANAGEMENT ASSESSMENT

1. OVERVIEW

Records management is an important part of government administration, risk management and accountability. It is the basis for establishing and maintaining documentary evidence of Council activities, enables informed decision making and supports effective service delivery.

The Records Management Program incorporates the Records Management quality framework of Plan, Do, Review and Improve (PDRI). Being a Victorian public agency, it is bound by the requirements of the Public Records Act 1973 Standards, Specifications and the compliance standards issued by PROV. Quality and compliance requirements have been embedded in the Melton's records management policies and procedures.

The level of compliance of business units with legislative and policy requirements are identified through a program of facilitated records management assessments. Ongoing improvements are facilitated through a records management planning process. All areas of the agency are subject to this ongoing cycle of continuous assessment and planning, as well as specific assessment where particular compliance requirements need to be managed.

Business unit which have either high risk or manage permanent state records will be focused on more extensively to identify risks, assign corrective actions thus mitigate record keeping breaches. Examples of high risk business activities could include:

- Regular, routine and/or direct contact with individuals.
- Impacts on individual's rights and entitlements.
- The creating and managing contracts or legal agreements on behalf of Council.
- Processes that are considered open to corruption.
- Significant or major Council projects or programs.
- Significant investments to the economy.
- Disaster and Emergency Management requirements.

The records management assessment is designed to gauge how well business units are managing their records, identify areas for improvement, and to allow Records to develop strategies that will help areas improve their records management practices.

The assessment criteria include:

- Procedures
- Responsibilities and delegations
- Education and Awareness
- File creation and management
- Document management
- Storage of records
- Records security
- Digital recordkeeping systems

- Risk management and disaster prevention.

The following sections provide specific details relating to assessment and compliance programs. The following methodology describes each of the stages.

2. Planning a Business Unit Assessment

2.1 Set the Business Unit Assessment Timetable

The Business Unit Assessment timetable will be approved by the Manager of the Records Management Unit on a yearly basis in conjunction with the Risk Manager.

2.2 Select a Nominated Reviewer(s)

Every Business Unit Assessment must have a Nominated Reviewer(s) for completing the review of the business units operations. The Nominated Reviewer(s) must have sufficient experience along with understanding of records management obligations. The Nominated Reviewer(s) are responsible for:

- Confirming the Business Unit Assessment timetable with the key Business Unit staff under review prior to commencement;
- Re-confirm scope of the Business Unit Assessment with the Information Management Unit staff before conducting the review
- Liaise with Business Unit staff prior to conducting the review onsite to assist and prepare with retrieval of documentation required for the review;
- Discuss the scope and approach with the Business Unit staff;
- Review the Corrective Action Plans (where issues were identified);
- Report results and Action Plans to key stakeholders upon finalisation of the Corrective Action Plans.
- Report any significant records management breaches of policy, process or compliance obligations via the risk management process.

2.3 Set & Confirm the Scope of the Business Unit Assessment

The scope of the Business Unit Assessment should cover either all or selected areas

The Business Unit Assessment scope should be documented, reviewed and approved by the Manager of the Information Management unit prior to conducting.

2.4 Conduct the assessment

A records management assessment tool (separate document) has been provided for use and should be used as the basis of the interview with the nominated business unit.

1. Complete the records management assessment tool for the business unit, including all sub-units, office locations and staff under it in consultation with the Information Management Unit.

2. Business units will also be required to identify:
 - Records Contact delegations for the business unit
 - Business processes undertaken by the business unit
 - Storage locations used by the business unit for storing official records
 - Digital recordkeeping systems managed by the area.
3. Records Management Risks will be identified and reported to the Risk Manager.
4. Corrective actions will be assigned to the business unit. These corrective actions will be managed in by the Information Management Unit in consultation with the business unit for completion thus mitigating likelihood for compliance breaches.
5. Once completed, the business unit will need to develop their Records Management Plan in consultation with the records management unit. The records management unit will continue to actively support the business unit to fulfil identified corrective actions.

Assistance and guidance will be available from Records Management Unit to complete the records management assessment process.

Workshops will also be organised to provide face to face assistance.