Compliance Monitoring Program

The program will operate on an annual audit cycle; it is comprised of four audit activities and biannual compliance reporting, as shown below.

Table 1: Annual Audit Cycle

Activity	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec
IM Framework Review								●				
Departmental Audits	●	●	●	●	●	●	●	●	●	●	●	●
Storage Inspections	●						●					
System Monitoring		●		●		●		●		●		●
Compliance Reporting			●						●			
Actions Reporting	●	●	●	●	●	●	●	●	●	●	●	●

Activity

Information Management Framework

Customer Service Charter

Departmental Audits

Storage Inspections

System Monitoring

Actions Reporting

Audit Description

Review Information Management Strategy

Review Information Management Policy

Review Corporate Information Customer Service Charter

Verify that Information Management Procedures and Records Manager Business Rules are up-to-date

Verify that all current outsource contracts include PROV compliant recordkeeping clauses

Review any Privacy and FOI complaints received in the last 12 months to identify any recurring issues

Corporate Information Helpdesk allocation, escalation and resolution

Audit ERDMS Helpdesk to ensure requests are allocated, resolved or escalated within the agreed timeframes

Verify inwards correspondence is distributed, scanned and register into EDRMS within agreed timeframes and as per procedures

Inspect file retrievals register to determine delivery turnarounds and assess if meeting agreed timeframes

Verify business rules are updated within one business day of change request

Verify that required training has been delivered as per agreed timeframes and

Audit quality of records management advice provided and within the agreed timeframes

Audit Information Privacy Complaints and FOI Requests have been actioned within required timeframes

Assess the capture rate of significant emails into the EDRMS with selected staff by reviewing a sample of significant emails sent and received during the previous month

Check EDRMS (Records Manager) metadata quality on a sample of records registered by staff in the previous month

Audit key or high-risk business processes to determine if full and accurate records have been kept for a sample of transactions

Inspect locally stored paper files to determine if they have been registered in the EDRMS or contain unregistered records

Inspect the contents of secure destruction bins to determine if records have been disposed of without authorisation

Verify that Privacy Disclaimers have been completed when the collection or use of personal information has changed in the Department in the last 12 months

Compliance with relevant requirements in the PROV Agency Records Storage Specification (PROS 11/01 S1)

Workplace safety issues (e.g. trip hazards)

General maintenance and cleanliness (e.g. leaking pipes, dust)

Integrity of a sample of records in storage (e.g. pest infestations, mould, corrupt data files)

Records Manager usage rates to identify staff that are not utilising the EDRMS

Sensitive record security checks to identify records that have not been appropriately secured

Home folder usage to identify staff that are not routinely moving finalised records to corporate files

Network drive and desktop usage to identify folders that are being used to store new records

USB device usage to identify staff that may be storing records outside authorised systems

Councillor Correspondence Reports:

First week of each month – All open requests addressed to a Councillor

First week of each month – All open request received from a Councillor

Second week of each month – All open requests received from a Councillor

Second week of each month – All completed requests received from a Councillor in previous month

Monthly Overdue Actions Reports for all Council Divisions and Departments

Activity	Responsibility Of	Frequency	Due Date
Actions Reporting - Councillor Correspondence	System Adminstrator	Monthly	Jan-17
Actions Reporting - Overdue	System Adminstrator	Monthly	Jan-17
CI Customer Service Charter Audit	Coordinator Corporate Information	Monthly	Jan-17
Departmental Audit - *Dep Name*	System Adminstrator	Monthly	Jan-17
Storage Inspection	Corporate Information Officers	Half Yearly	Jan-17
Actions Reporting - Councillor Correspondence	System Adminstrator	Monthly	Feb-17
Actions Reporting - Overdue	System Adminstrator	Monthly	Feb-17
CI Customer Service Charter Audit	Coordinator Corporate Information	Monthly	Feb-17
Departmental Audit - *Dep Name*	System Adminstrator	Monthly	Feb-17
System Monitoring	System Adminstrator	Bi-Monthly	Feb-17
Actions Reporting - Councillor Correspondence	System Adminstrator	Monthly	Mar-17
Actions Reporting - Overdue	System Adminstrator	Monthly	Mar-17
CI Customer Service Charter Audit	Coordinator Corporate Information	Monthly	Mar-17
Compliance Reporting	Coordinator Corporate Information	Half Yearly	Mar-17
Departmental Audit - *Dep Name*	System Adminstrator	Monthly	Mar-17
Actions Reporting - Councillor Correspondence	System Adminstrator	Monthly	Apr-17
Actions Reporting - Overdue	System Adminstrator	Monthly	Apr-17
CI Customer Service Charter Audit	Coordinator Corporate Information	Monthly	Apr-17
Departmental Audit - *Dep Name*	System Adminstrator	Monthly	Apr-17
System Monitoring	System Administrator	Bi-Montly	Apr-17
Actions Reporting - Councillor Correspondence	System Adminstrator	Monthly	May-17
Actions Reporting - Overdue	System Adminstrator	Monthly	May-17
CI Customer Service Charter Audit	Coordinator Corporate Information	Monthly	May-17

Task	Responsible	Frequency	Date
Departmental Audit - *Dep Name*	System Adminstrator	Monthly	May-17
Actions Reporting - Councillor Correspondence	System Adminstrator	Monthly	Jun-17
Actions Reporting - Overdue	System Adminstrator	Monthly	Jun-17
CI Customer Service Charter Audit	Coordinator Corporate Information	Monthly	Jun-17
Departmental Audit - *Dep Name*	System Adminstrator	Monthly	Jun-17
System Monitoring	System Administrator	Bi-Montly	Jun-17
Actions Reporting - Councillor Correspondence	System Adminstrator	Monthly	Jul-17
Actions Reporting - Overdue	System Adminstrator	Monthly	Jul-17
CI Customer Service Charter Audit	Coordinator Corporate Information	Monthly	Jul-17
Departmental Audit - *Dep Name*	System Adminstrator	Monthly	Jul-17
Storage Inspection	Corporate Information Officers	Half Yearly	Jul-17
Actions Reporting - Councillor Correspondence	System Adminstrator	Monthly	Aug-17
Actions Reporting - Overdue	System Adminstrator	Monthly	Aug-17
CI Customer Service Charter Audit	Coordinator Corporate Information	Monthly	Aug-17
Departmental Audit - *Dep Name*	System Adminstrator	Monthly	Aug-17
Information Management Framework Review	Coordinator Corporate Information	Annual	Aug-17
System Monitoring	System Administrator	Bi-Montly	Aug-17
Actions Reporting - Councillor Correspondence	System Adminstrator	Monthly	Sep-17
Actions Reporting - Overdue	System Adminstrator	Monthly	Sep-17
CI Customer Service Charter Audit	Coordinator Corporate Information	Monthly	Sep-17
Compliance Reporting	Coordinator Corporate Information	Half Yearly	Sep-17
Departmental Audit - *Dep Name*	System Adminstrator	Monthly	Sep-17
Actions Reporting - Councillor Correspondence	System Adminstrator	Monthly	Oct-17

Actions Reporting - Overdue	System Adminstrator	Monthly	Oct-17
CI Customer Service Charter Audit	Coordinator Corporate Information	Monthly	Oct-17
Departmental Audit - *Dep Name*	System Adminstrator	Monthly	Oct-17
System Monitoring	System Administrator	Bi-Montly	Oct-17
Actions Reporting - Councillor Correspondence	System Adminstrator	Monthly	Nov-17
Actions Reporting - Overdue	System Adminstrator	Monthly	Nov-17
CI Customer Service Charter Audit	Coordinator Corporate Information	Monthly	Nov-17
Departmental Audit - *Dep Name*	System Adminstrator	Monthly	Nov-17
Actions Reporting - Councillor Correspondence	System Adminstrator	Monthly	Dec-17
Actions Reporting - Overdue	System Adminstrator	Monthly	Dec-17
CI Customer Service Charter Audit	Coordinator Corporate Information	Monthly	Dec-17
Departmental Audit - *Dep Name*	System Adminstrator	Monthly	Dec-17
System Monitoring	System Administrator	Bi-Montly	Dec-17

Completed Date	RM8 Reference