



Activity	Audit Description
<b>Information Management Framework</b>	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
<b>Customer Service Charter</b>	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
<b>Departmental Audits</b>	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
<b>Storage Inspections</b>	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)
<b>System Monitoring</b>	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
<b>Actions Reporting</b>	Councillor Correspondence Reports:
	<i>First week of each month – All open requests addressed to a Councillor</i>
	<i>First week of each month – All open request received from a Councillor</i>
	<i>Second week of each month – All open requests received from a Councillor</i>
	<i>Second week of each month – All completed requests received from a Councillor in previous month</i>
	Monthly Overdue Actions Reports for all Council Divisions and Departments

Activity	Responsibility Of	Frequency	Due Date	Completed Date	RM8 Reference
Actions Reporting - Councillor Correspondence	System Administrator	Monthly	Jan-17		
Actions Reporting - Overdue	System Administrator	Monthly	Jan-17		
CI Customer Service Charter Audit	Coordinator Corporate Information	Monthly	Jan-17		
Departmental Audit - Dep Name	System Administrator	Monthly	Jan-17		
Storage Inspection	Corporate Information Officers	Half Yearly	Jan-17		
Actions Reporting - Councillor Correspondence	System Administrator	Monthly	Feb-17		
Actions Reporting - Overdue	System Administrator	Monthly	Feb-17		
CI Customer Service Charter Audit	Coordinator Corporate Information	Monthly	Feb-17		
Departmental Audit - Dep Name	System Administrator	Monthly	Feb-17		
System Monitoring	System Administrator	Bi-Monthly	Feb-17		
Actions Reporting - Councillor Correspondence	System Administrator	Monthly	Mar-17		
Actions Reporting - Overdue	System Administrator	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 Administrator	Monthly	Mar-17		
Actions Reporting - Councillor Correspondence	System Administrator	Monthly	Apr-17		
Actions Reporting - Overdue	System Administrator	Monthly	Apr-17		
CI Customer Service Charter Audit	Coordinator Corporate Information	Monthly	Apr-17		
Departmental Audit - Dep Name	System Administrator	Monthly	Apr-17		
System Monitoring	System Administrator	Bi-Montly	Apr-17		
Actions Reporting - Councillor Correspondence	System Administrator	Monthly	May-17		
Actions Reporting - Overdue	System Administrator	Monthly	May-17		
CI Customer Service Charter Audit	Coordinator Corporate Information	Monthly	May-17		
Departmental Audit - Dep Name	System Administrator	Monthly	May-17		
Actions Reporting - Councillor Correspondence	System Administrator	Monthly	Jun-17		
Actions Reporting - Overdue	System Administrator	Monthly	Jun-17		
CI Customer Service Charter Audit	Coordinator Corporate Information	Monthly	Jun-17		
Departmental Audit - Dep Name	System Administrator	Monthly	Jun-17		
System Monitoring	System Administrator	Bi-Montly	Jun-17		
Actions Reporting - Councillor Correspondence	System Administrator	Monthly	Jul-17		
Actions Reporting - Overdue	System Administrator	Monthly	Jul-17		
CI Customer Service Charter Audit	Coordinator Corporate Information	Monthly	Jul-17		
Departmental Audit - Dep Name	System Administrator	Monthly	Jul-17		
Storage Inspection	Corporate Information Officers	Half Yearly	Jul-17		

Activity	Responsibility Of	Frequency	Due Date	Completed Date	RM8 Reference
Actions Reporting - Councillor Correspondence	System Administrator	Monthly	Aug-17		
Actions Reporting - Overdue	System Administrator	Monthly	Aug-17		
CI Customer Service Charter Audit	Coordinator Corporate Information	Monthly	Aug-17		
Departmental Audit - Dep Name	System Administrator	Monthly	Aug-17		
Information Management Framework Review	Coordinator Corporate Information	Annual	Aug-17		
System Monitoring	System Administrator	Bi-Monthly	Aug-17		
Actions Reporting - Councillor Correspondence	System Administrator	Monthly	Sep-17		
Actions Reporting - Overdue	System Administrator	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 Administrator	Monthly	Sep-17		
Actions Reporting - Councillor Correspondence	System Administrator	Monthly	Oct-17		
Actions Reporting - Overdue	System Administrator	Monthly	Oct-17		
CI Customer Service Charter Audit	Coordinator Corporate Information	Monthly	Oct-17		
Departmental Audit - Dep Name	System Administrator	Monthly	Oct-17		
System Monitoring	System Administrator	Bi-Monthly	Oct-17		
Actions Reporting - Councillor Correspondence	System Administrator	Monthly	Nov-17		
Actions Reporting - Overdue	System Administrator	Monthly	Nov-17		
CI Customer Service Charter Audit	Coordinator Corporate Information	Monthly	Nov-17		
Departmental Audit - Dep Name	System Administrator	Monthly	Nov-17		
Actions Reporting - Councillor Correspondence	System Administrator	Monthly	Dec-17		
Actions Reporting - Overdue	System Administrator	Monthly	Dec-17		
CI Customer Service Charter Audit	Coordinator Corporate Information	Monthly	Dec-17		
Departmental Audit - Dep Name	System Administrator	Monthly	Dec-17		
System Monitoring	System Administrator	Bi-Monthly	Dec-17		