on the record

Recordkeeping Audits

The Government Recordkeeping Unit is beginning to Audit agencies beginning this year.

The aim of the Audit is twofold;

- First of all we need to assess the level of maturity of information management across the whole of government (WOG), in order to direct the development of policy and procedures at a WOG level.
- Secondly it provides an agency with an awareness of its information management maturity, and clearly identifies information risks to the agency, which the agency can then work to mitigate.

The Audit has been approved by the Auditor General.

The Audit process is as follows;

- The head of agency will receive an email from the State Archivist informing them that an Audit will be carried out. They will be provided with documentation including a list of documents that will need to be provided to GRK, if the agency has them. (eg an Information Management Policy) If the agency doesn't have the documents, then that's OK, they just report that they don't have one.

- A GRK team member will review the documentation and contact the agency to arrange a meeting for the face to face component of the Audit.
- At the meeting the GRK team member will ask a number of questions about how the agency manages its information. The Audit questions are based on Guideline 1 – Records Management Principles.
- After the interview the GRK team will assess the level of IM maturity in the Agency.
- GRK staff then writes an Audit Report advising the agency of their level of Information Management maturity, and provide information on action that the agency needs to take to address IM risk and improve their level of IM maturity.

No preparation needs to be done by the Agency before the first Audit, other than to provide the initial documentation requested, if they have it.

The results of the first Audit provides a baseline on which the agency can build, and gives them direction for improvement. This helps us to give the agency more targeted and specific assistance, instead of the more generalised assistance we now provide.

Before we roll the Audit out to all agencies we want to test our Audit tools. We are looking for 6 agencies to test as follows;

Tasmanian Government

- One government department
- One large Local Government Council
- One small Local Government Council
- One GBE
- One State Owned Company
- One Tribunal
- One Board or Council

If your agency would like to volunteer to test the Audit tools, please let us know by 30th April. If there are no volunteers, we will choose one of each of the above to use to test the tools.

Advice to help you manage Administrative Change

We have produced two Advices to accompany Guideline 3, Managing Recordkeeping Risks during Government Administrative Change.
They are;
Information Management - Part 1 Management of Records during Administrative Change Handbook (2014: Advice 63)
And
Information Management - Part 2 Government Administrative Change Advice for Senior Management (2014: Advice 63)

These advices provide invaluable information if you are;

- Transferring a function between agencies
- Transferring a function to another tier of government
- Creating or abolishing a function
- Amalgamating agencies
- Privatising a function
- Going into a Shared Service arrangement

ORDA

We have now gone live with ORDA for developing Retention and Disposal Schedules, and two agencies already have Schedules in development.

We have added a new page to our website with all the relevant information about developing Schedules and ORDA, see below.

▶ **Government Recordkeeping**

Services for Government
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▶ Advice + Support
▶ Approved Places of Deposit
▶ Approved Secondary Storage Providers (ASSP)
▶ Developing a Retention + Disposal Schedule
▶ Forms
▶ Guidelines + Advices
▶ Information Management Resources
▶ Location + Contact Information
▶ Newsletter - On the Record
▶ Retention + Disposal Schedules
▶ Retrieval of Records
▶ Training + Events
▶ Transfer + Disposal

We now only approve Schedules developed in ORDA. Schedules developed in AKA will need to be imported in ORDA.

Happy Recordkeeping!

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Tasmanian Government