on the record

February 2014

## Disposal Schedule Development Freeze

In 2014 the GRK Unit will be working on our Disposal/Appraisal Project that we flagged with you last year. We are looking at new, easier ways of writing Retention and Disposal Schedules, and reviewing what records we consider should be retained Permanently, to best represent the workings of the Tasmanian Government into the future. In order to carry out this work we will be stopping work on Disposal Schedule reviewing so that we can allocate more of our resources to the Project.

Similar reviewing is also being done by our colleagues on the mainland, and in Victoria, the Public Records Office are stopping Schedule work for two years. We estimate our reviewing work will cease for about 9 months.

During 2014 we will only continue reviewing Schedules that we have already commenced, namely;

- Department of Economic Development, Tourism and the Arts
- DIER
- DHHS – Client Health Records
- TasPorts
- Aurora
- Inland Fisheries
- TasWater
- Transend
- Integrity Commission
- Asbestos Compensation Tribunal
- Tasmanian Home Education Advisory Council
- Treasury & Finance
- Tasmanian Dairy Industry Authority
- Motor Accident Insurance Board
- Tasmanian Industrial Commission
- Racing Services Tasmania

and Schedules for those agencies whose staff have attended our training on developing their Schedules.

Our Schedule development training will continue, as the majority of that course is devoted to Business Classification, which is, and will remain, the basis for Retention & Disposal.

When we re-commence the approval process for Schedule Development, we will have a whole new set of procedures, and a new web based development tool which all Agencies and Consultants will need to use when developing Schedules. Of course we will run some training to acquaint you with the new methods. Those agencies currently developing Schedules in 'aka' will not be disadvantaged.

## Records Management Program Toolkit

(contributed by Allegra Huxtable)

The implementation and regular monitoring of records, recordkeeping, and an organisational records management program, is beneficial for all Agencies. Implementation and ongoing monitoring of a strategic records management program ensures that records are managed according to best practice, and in efficient and effective ways that meet the business needs of the agency and the requirements of Government. Monitoring should go beyond a mere assessment of conformity with requirements, and actively assist agencies to embed good recordkeeping practices and processes, and develop organisational capacity.

Implementation and monitoring of recordkeeping and the management of records in agencies is a shared responsibility between TAHO and Agencies.

TAHO has developed this toolkit to support agencies in the implementation of a strategic records management program, and assessing current records management performance and conformity with requirements.

This toolkit is a series of guides and templates about implementing a Records Management program, and consists of the following;

- Part 1: Organisation of a Records Management Program
- Part 2: Guiding Principles for a Records Management Program
- Part 3: A Step by Step guidebook for Implementing a Records Management Program
- Part 4: A Strategic Recordkeeping Implementation Plan Template
- Part 5: Operational Recordkeeping Implementation Plan Template
- Part 6: A Recordkeeping Maturity Model
- Part 7: Recordkeeping Program Maturity Assessment Tool
- Part 8: Assessing a Records Management Program
- Part 9: A Records Management Toolkit for Local Government.

Part 9 was developed with Local Government in mind. TAHO is aware of the difficulties faced particularly by smaller, resource-limited Councils, we decided there was a need to provide some basic operational guides to support those agencies who may not have dedicated or experienced records management resources of their own. The toolkit is focused very much on an operational rather than strategic level, with the hope of providing guidance to get some of the basics in place, mitigate immediate risks, and creating a stable foundation from which a staged approach to a more formal 'strategic' Records Management program implementation may be possible.

Part 9 introduces some concepts for general operational tasks and activities, including critical elements for consideration – good records management practice doesn't just 'happen'. It also provides an overview of various resources and tools required to assist agencies when reviewing their current practices, or lack thereof, and wanting to introduce or formalise processes. The first release will also include a number of supporting "Fact Sheets" based initially on the identified operational tasks. Each of these fact sheets provide a greater level of detail on a number of topics, and additional resources (including templates and further reading) for agencies to approach systematically as time and resources permit, and as their level of experience dictates.

The intention is for ongoing development of additional Fact Sheets to expand upon some of the other topics covered more broadly in the initial advice.

**The entire toolkit will be released in March as a consultative draft and we would appreciate agencies providing comment on the tools.**

**We will also be interested in any agencies who would like to test the toolkit for us. Please contact TAHO if you are interested.**

## Stats Matter Initiative

(Contributed by David Bloomfield)

The 'Stats Matter' vision is for better government decisions informed by quality data and sound statistical practice. The initiative is being implemented to improve the way data is produced, managed, reported and used across the Tasmanian Government. The strategy's three key objectives underline the importance of our own roles as records and information managers in our respective agencies:

- To build a culture that values and requires quality data
- To ensure quality data is easy to find and use
- To implement robust governance of our significant statistical data

Hence, we should see this as an excellent means to further the cause of good recordkeeping in our workplaces. The Office of eGovernment has carriage for the strategy and they can be contacted at egovernment@dpac.tas.gov.au

## Spotlight:
## Kim Butterworth – Executive Officer – MAIB.

**What is your role at the Motor Accident Insurance Board (MAIB)?**
I am the Executive Officer at the MAIB. This role covers a lot of 'projects' throughout the year including collating the annual report, risk management, reviewing and writing policies and legislative compliance to name but a few.

**How did you become involved in Information Management?**
Through the role as Executive Officer, I am responsible for the writing and updating of policies of which our Disposal Schedule is one. I also handle requests for information that are received by the MAIB.

**What's the thing you like best about your job?**
The best thing about my job is the variety of tasks that I perform. I don't do the same thing all day every day and there is a sense of achievement once a 'project' is finished.

**What's the thing you like least about your job?**
Assessing requests for information on large files!

**What do you see for the future of Information Management?**
Digital all the way. It would be really great if I could just press a button and print out all the documents I need on a claim file without have to manually sift through the whole file to find the required documents.

**What do you do for Professional Development?**
Attend training sessions on a regular basis that are applicable for my role.

**Share with us something about your life away from IM?**
I am married to my awesome husband, Colin and we have a 2 year old son, Owen. My husband is a photographer in his spare time and I too have developed a passion for photography which fits nicely with my main hobby of scrap booking and card making. I also enjoy building Lego! There are just not enough hours in the day for all my hobbies.

## Training Courses 2014

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| Contributing to STORS* | Launceston LINC | 20 February |
| Contributing to STORS* | Hobart LINC | 26 February |
| Digital recordkeeping on a shoe-string budget | Hobart | 5 March |
| Information Management Forum | Hobart | Late March (tbc) |
| Records Management Introduction | Launceston | 2 April |
| Disposal Procedures | Hobart | 7 May |
| Disposal Procedures | Launceston | 4 June |

## Hoarding Data.

Do you have an IT Department that believes you should just save everything as 'storage is cheap?' Image and Data Manager from Monday 10/2/14 has one of the best articles I have seen on this issue. The article was inspired by watching a reality TV program about hoarders….and we all know that many people out there are records hoarders. Check it out at http://idm.net.au/article/009907-hoarding-data-are-you-buried-alive

## New Retention & Disposal Schedule for DHHS – Oral Health

Congratulations to Kirstie Mountain from DHHS and the crew at Oral Health for an excellent Retention & Disposal Schedule – approved on the first draft!!

## Countdown to Information Security deadline

As you know, Information Security needs to be implemented by the end of the year. In 2013 we released a suite of Advices to help your agency with its Implementation Plan. We have recently added to that Suite by producing a Checklist to accompany Part 1 of 'Implementing Information Security' and a Template to accompany Part 4. These will appear on our website shortly.

## Implementing EDRMS in your Agency

(Contributed by Sam Foster-Davies)

The GRK unit as part of the wider Department of Education has recently been implementing a new EDRMS system, accompanied by a new BCS. As is typical, this has proven to be quite educational for all staff, trying to balance the wide ranging responsibilities of the various business units with the objectives of grouping 'like' activities and records to provide a streamlined and manageable structure that meets business needs. Given our own hands on experience, we thought it might be useful to provide a 'top 5' of tips for agencies poised to do the same.

Tip# 1 - Ensure you have enough time and resources to plan your implementation strategy/project thoroughly. This may mean choosing to implement the system in a staged approach over time, rather than a whole-of-agency launch. Don't overcommit – it is better to do a smaller number of things well and successfully, and leveraging these successes for the next part of the project – rather than spreading your resources too thin.

Tip#2 – Perform a thorough review of your business functions and activities, to ensure you make adequate provisions in your BCS. This means dedicating time to all business units, to identify their individual requirements, and the 'why' behind it. Note that people are less resistant to change when they feel they have contributed to it, and feel the change is moving in a positive direction that will benefit them.

Tip#3 – Engage support. Identify and train a team of champions or advocates to help provide support and encouragement for people 'at the coal face'. These people might be engaged in 'train the trainer' type of activities, to share the workload and reduce training expense. Whatever their tasks, ensure these people are provided with the appropriate support, training and time to perform this role adequately, rather than attempting to do it 'off the side of their desk'.

Tip#4 - Awareness raising and communication plans. Tell people what you're planning to do; tell them when you're going to do it; tell them how you're going to do it; tell them when it's about to happen, when it's happening, and once it's done. Then tell them how it's going, the wins (and even setbacks) and invite comment and feedback to help improve the system, procedures and processes once they're in place. Nothing quite creates interest and engagement than a sense of fun, ownership and being 'heard'.

Tip#5 – Training. This is often the most overlooked and under-resourced part of an implementation project. Ensure you have a solid training plan in place, offering a number of different mediums to suit various learning styles, and targeted appropriately to the needs of the audience (think end users, records staff, champions, system administrators, managers, etc). Ensure training is undertaken close to 'go live' day, to ensure new skills are embedded quickly through practical experience, or learning may be forgotten. Make sure you have readily accessible 'cheat sheets' or self-paced training easily accessible on your intranet or web page – not buried somewhere it'll never be found. Make them short and succinct – consider topics like:

- How do I save an MS Office document (word/excel etc)
- How do I save an email?
- How do I search for a folder?
- How do I search for a document?
- How do I version control a document?
- How do I send something to another officer?

Whilst these will be critical to support your champions and staff from go-live day, it is advisable to have them available earlier if possible, and provide 'sand-pit' environments for your team of advocates and system administrators to practice earlier, if time and resources allow.

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Tasmania
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