

# RECORDKEEPING MATURITY MODEL

## Introduction

### Maturity Rating Definitions<sup>1</sup>

#### Level 1 – Inadequate/Sub-standard

Practice is not formalised or documented. Processes and practices are fragmented or non-existent. Where processes and practices exist they are applied minimally or in an ad hoc manner and are not effective.

#### Level 2 – Acceptable but Requires Development

Processes and practices are defined to varying degrees but are not applied consistently. Basic management controls and disciplines are in place.

#### Level 3 – Effective

Processes and practices are defined, documented, well understood and used consistently across the organization. Meets the minimum compliance requirements of SRC Standard 2.

#### Level 4 – Optimal

Processes and practices are actively managed and routinely measured and evaluated to ensure delivery of desired results. Processes and practices are continuously improved through innovation and organizational learning based on ongoing monitoring and review.

## Minimum Compliance Requirements

The organization's evidence of meeting the minimum compliance requirements should be documented in the Recordkeeping Plan and/or supporting documentation.

### Maturity Rating Level 1 or 2

As a minimum requirement, organizations are expected to achieve, or work towards, a Maturity Rating of **Level 3**. Over time organizations may choose to improve recordkeeping practices and work towards achieving a Maturity Rating of Level 4.

If an organization has not met the minimum compliance requirement/s (ie the assessment of any aspect is rated "Inadequate/Sub-standard" or "Acceptable but Requires Development"), the organization is to provide:

- a) the reasons for non-compliance; and
- b) the strategies or actions it intends to undertake to meet compliance.

## Sample Indicators

Sample indicators are provided at the end of each Principle to assist organizations in choosing an appropriate maturity rating for their recordkeeping activities.

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<sup>1</sup> Adapted from: Queensland State Archives, *Recordkeeping maturity model and road map: Improving recordkeeping in Queensland public authorities*, viewed 13 March 2013, < [http://www.archives.qld.gov.au/Recordkeeping/GRKDownloads/Documents/maturity\\_model\\_road\\_map.pdf](http://www.archives.qld.gov.au/Recordkeeping/GRKDownloads/Documents/maturity_model_road_map.pdf)>

# RECORDKEEPING MATURITY MODEL

## SRC Standard 2: Recordkeeping Plans

### Principle 2: Policy and Procedures

*Government organizations ensure that recordkeeping programs are supported by policy and procedures.*

#### Minimum Compliance Requirements

The Recordkeeping Plan and/or supporting documentation should provide:

##### Recordkeeping Systems

- An overview of the records management system/s in use;
- Whether the records management systems are manual or automated; paper based, electronic; or a hybrid system;
- When the current system was implemented, how the change of systems, if any, was managed; and
- Planned changes to records management systems, if any.

##### Policies and Procedures

- Policy and procedure documentation as attachments, OR detailed descriptions within the Recordkeeping Plan which demonstrate that:
  - Policies and procedures have been established;
  - Roles and responsibilities for all employees are defined;
  - Organizational scope of the policies and procedures has been addressed, e.g. their applicability to regional branches or outsourced contractors; and
  - Policies and procedures have been authorised at an appropriate senior level and are available to all employees.

##### Registration of Correspondence/Records Created and Received by the Organization

- Statements or evidence of:
  - Mail management policy and procedures (including those for elected members in Local Government);
  - Assigned responsibility for classifying, indexing and registration; and
  - File titling conventions, file numbering etc.

##### Digitization/Scanning Source Records (if applicable)

- Statements or evidence of:
  - Digitization policy and procedures;
  - Categories of records digitized;
  - Compliance with the requirements of the *General Disposal Authority for Source Records* (if applicable); and
  - Processes for disposal of source records (if applicable).

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#### Distribution of Correspondence/Files

- Statements or evidence of:
  - Assigned responsibility;
  - Frequency;
  - Tracking mechanisms; and
  - Security measures for the protection of confidential/personal information.

#### File Management, Creation and Closure of Files

- Statements or evidence of:
  - Assigned responsibility;
  - Tracking mechanisms; and
  - Physical and/or automated file creation process.

#### Access to Corporate Records

- Statements or evidence of:
  - Security and access controls for corporate records; and
  - Protection of confidential or sensitive records.

#### Disposal of Records

- Statements or evidence of:
  - Assigned responsibility for compiling disposal lists, authorisation of disposal etc; and
  - Frequency of the disposal program.

#### Electronic Records Management (including Email Records)

- Statements or evidence of:
  - The organization's approach and methodology for the management of its electronic records (e.g. print and file, identification of the official record, use of an Electronic Document and Records Management Systems (EDRMS), hybrid system etc); and
  - Capture, retention and authorised disposal of email messages to ensure accountability.

#### Website Management

- Statements or evidence of:
  - Guidelines to determine the purpose of the site (e.g. informational/transactional);
  - Capture of all information published to the website within the corporate system, either in hard copy or to another electronic medium; and

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### Principle 2: Policy and Procedures

- Strategies implemented for managing records of changes to the website information, etc.

#### Metadata Management

- Statements or evidence of the methodology for capture and control of metadata, e.g. naming conventions, business rules or classification scheme, specification of metadata automatically captured in information systems, requirements for manual capture of metadata etc.

#### Systems Management

- Statements or evidence of delegations of authority for the control and security of all information systems utilised by the organization, e.g. protocols for staff access, security measures for access to servers and network access etc.

#### Migration Strategy

- Statements or evidence of:
  - Strategies planned or in place for migrating records to new or upgraded hardware or software;
  - Assigned responsibility; and
  - Regularity.

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## SRC Standard 2: Recordkeeping Plans

### Principle 2: Policy and Procedures Maturity Indicators

Recordkeeping Activity	Level 1 – Inadequate/sub-standard	Level 2 – Acceptable but requires development	Level 3 – Effective	Level 4 – Optimal
Recordkeeping Systems	<p>Records are held in multiple local systems, inaccessible without referral to the immediate users.</p> <p>Identification and capture of records is sporadic and, in the absence of corporate systems, is dependent on individual judgement.</p> <p>There is little awareness of the need to capture records arising from activities conducted in business systems.</p>	<p>Systems for management of records are implemented in parts of the organization only, are poorly managed or do not have appropriate recordkeeping functionality (as defined in Level 4).</p>	<p>All systems (physical and electronic) that create and manage records are identified.</p> <p><b>All</b> areas of the organization have the appropriate level of access to systems that keep records.</p> <p>Processes and procedures have been established for the maintenance of systems throughout the organization that create and keep records.</p>	<p>Business systems that create and manage records have appropriate recordkeeping functionality (either stand-alone or through export to, or integration with, an eDRMS or other dedicated recordkeeping system).</p> <p>Standard operating procedures and mechanisms exist for all systems that keep records, including:</p> <ul style="list-style-type: none"> <li>• Reporting of system failures;</li> <li>• Specific actions to be taken when a system fails; and</li> <li>• Comprehensive documentation of major changes to systems.</li> </ul> <p>Recordkeeping requirements are considered in the design of all new systems.</p> <p>Regular reviews of systems are undertaken, including consideration of whether all business activities are appropriately managed in systems.</p>

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### Principle 2: Policy and Procedures

Recordkeeping Activity	Level 1 – Inadequate/sub-standard	Level 2 – Acceptable but requires development	Level 3 – Effective	Level 4 – Optimal
Policies and Procedures	No current, approved policies, procedures or business rules exist for recordkeeping.	An approved policy exists, that sets out the need to create and keep records and manage them in accordance with the <i>State Records Act 2000</i> .  Policy covers records in all formats.  Procedures are not formalised or do not cover all aspects of Principle 2.	Recordkeeping policy is endorsed by senior management and cross-references related organizational policies, e.g. information security.  <b>All</b> staff are made aware of policies, procedures and/or business rules in place.  Policies and procedures cover all aspects of Principle 2 and are consistently applied by <b>all</b> staff.	Regular reviews of policies, procedures and business rules are undertaken.  Records management requirements are integrated into procedures and business rules for specific business activities (e.g. complaints management procedures include recordkeeping requirements).
Registration of correspondence/records created and received by the organization	Records are identified and captured sporadically.  Records do not document all the business of the organization.	Policies require staff to create and capture records but are inconsistently implemented or followed.  Mail management procedures are not formalised.	Mail Management procedures are endorsed by senior management and routinely applied.  Staff create records of the business they undertake and capture them into systems in accordance with policy.	Audits or regular reviews show that all parts of the organization are creating and capturing records into appropriate systems.  Creation and capture of official records is routinely monitored and any necessary corrective action is taken.

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Recordkeeping Activity	Level 1 – Inadequate/sub-standard	Level 2 – Acceptable but requires development	Level 3 – Effective	Level 4 – Optimal
Digitization/scanning source records (if applicable)	No current, approved policies, procedures or business rules exist for digitization of hard copy records.	The purpose of the digitizing program has been defined.  A policy has been developed for the digitization of hard copy records.  Procedures are yet to be finalized and implemented.	Scanning/digitization policy and procedures meet the requirements of the <i>General Disposal Authority (GDA) for Source Records</i> or other relevant business requirement (e.g. scanning for access purposes) and have been endorsed by senior management.  A compliance and risk assessment has been completed.	A monitoring/quality control program is in place to ensure scanning continues to meet the <i>GDA for Source Records</i> requirements.  A risk assessment is regularly conducted and risk is assessed as minimal.
Distribution of correspondence/files	No mechanisms are in place for tracking the location of records within the organization.	Business rules require regular tracking of records but are inconsistently applied.	A register (or equivalent) is kept showing the location of records and any changes to those locations.  Systems show the accurate location of records.	Regular audit of record locations are undertaken and system usage is monitored.
File management, creation and closure of files	No current, approved policies, procedures or business rules exist for creation of files or closure of inactive/completed activities.	Individual staff or business units maintain corporate files but there is no centralised file register/listing.	Responsibilities for file creation and closure are assigned.  A central file register is maintained and is accessible to all staff, in accordance with security and access policies.	Files are routinely created for new business at the beginning of the activity.  Files relating to completed business activities are routinely identified and closed.

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Recordkeeping Activity	Level 1 – Inadequate/sub-standard	Level 2 – Acceptable but requires development	Level 3 – Effective	Level 4 – Optimal
Access to corporate records	No consistent controls for access to records, with many staff able to access confidential and/or sensitive records.	Policies or business rules governing system security and user access permissions are in place but are inconsistently applied.	Systems for management of physical and electronic records routinely incorporate user access permissions.	Access restrictions and rules are regularly reviewed to ensure they are appropriate.  Regular audits are undertaken to ensure security and access controls are implemented appropriately and remain fit-for-purpose.  Corrective action is taken where necessary.
Disposal of records	No current, approved policies, procedures or business rules exist for disposal of records.	Basic rules stating that staff should only dispose of records in accordance with authorized disposal processes.  The retention schedule and policies are not regularly updated or maintained.	Policy or procedure relating to appropriate disposal authorization is in place.  Destruction of specific records is documented (e.g. authorized sign-off list, marked as destroyed on electronic systems).  Destruction methods and processes are appropriate to the media on which the records are stored and their level of sensitivity.	Assigned responsibility for the ongoing monitoring of the sentencing and disposal process.  Regular assessment of the application of disposal decisions.  Regular assessment of disposal authorities for currency and ongoing applicability.



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### Principle 2: Policy and Procedures

Recordkeeping Activity	Level 1 – Inadequate/sub-standard	Level 2 – Acceptable but requires development	Level 3 – Effective	Level 4 – Optimal
Electronic records management (including email records)	<p>No current, approved policies, procedures or business rules exist for management of electronic (and email) records.</p> <p>Electronic (and email) records are held in network / personal drives and/or email applications.</p>	<p>Policies require staff to create and capture electronic records, including email, into corporate recordkeeping systems but are inconsistently implemented or followed.</p>	<p>Authorised policy and procedures requiring capture of electronic (and email) records in corporate recordkeeping systems (or appropriate business information systems) are in place.</p>	<p>Audits show that all parts of the organization are creating and capturing electronic records into appropriate systems.</p> <p>Creation and capture of electronic records and email is routinely monitored and any necessary corrective action is taken.</p>
Website management	<p>No current, approved policies, procedures or business rules exist for management of websites.</p>	<p>Policy and procedures are in place but records of information published and/or updates to the website are not captured.</p>	<p>Policies and procedures assign responsibilities for the management of website/s including capture of:</p> <ul style="list-style-type: none"> <li>• information displayed on the website;</li> <li>• changes to webpages; and</li> <li>• transactions conducted via the website.</li> </ul>	<p>All information published to the website, including transactions conducted via the website, is captured in corporate systems.</p>
Metadata management	<p>No current, approved policies, procedures or business rules exist for metadata management.</p>	<p>System templates require staff to capture basic metadata about records.</p>	<p>Staff are aware of the metadata they need to capture into systems that keep records.</p> <p>Formal rules for metadata creation and management (in each business unit or enterprise-wide).</p>	<p>Automatic allocation of recordkeeping metadata to describe records, their context and their creation.</p> <p>Updates to metadata procedures and requirements, where changes to business requirements and rules occur.</p>

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### Principle 2: Policy and Procedures

Recordkeeping Activity	Level 1 – Inadequate/sub-standard	Level 2 – Acceptable but requires development	Level 3 – Effective	Level 4 – Optimal
Systems management	Responsibility for information systems is not assigned or delegated.	Responsibility for information systems is assigned but policy and procedures relating to staff access to and use of systems have not been formalised.	System access and use policy and procedures are in place.  Responsibility for providing access to systems is assigned.  Access to systems is controlled using network logins and password security.	Mechanisms are in place to ensure system access is revised or revoked as appropriate (e.g. exit interviews, notifications of position changes etc).
Migration strategy	No measures are in place to ensure the ongoing accessibility of electronic records.	Electronic records are migrated on an ad hoc basis, as needed.	Policy or strategy commits the organization to migrating or otherwise preserving electronic records to ensure they remain accessible for their authorised retention period.	Standard processes are implemented for the migration of electronic records during system upgrades or when decommissioning systems.  Consideration of record or system lifecycle needs, including future migration requirements, are included in system planning.

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## SRC Standard 2: Recordkeeping Plans

### Principle 3: Language Control

*Government organizations ensure that appropriate controls are in place to identify and name government records.*

### Compliance Requirements

The Recordkeeping Plan and/or supporting documentation should provide:

#### Controlled Language / File Plan / Thesaurus / Business Classification Scheme (BCS)

- A description of how the controlled vocabulary tool operates, its ease of use and how well it works, e.g.:
  - Coverage across the organization.
  - Is it systematic/consistent, is it capable of being changed?
  - Are changes to structure/content controlled?
- If a merged Keyword AAA/Functional Thesaurus is in use – some sample pages as an attachment, including a list of the functional Keywords and their scope notes.
- If another Thesaurus is in use - some sample pages as an attachment.
- If a file plan or list of authorised headings is in use - a copy of the file plan or list as an attachment.

### Maturity Indicators

Recordkeeping Activity	Level 1 – Inadequate/sub-standard	Level 2 – Acceptable but requires development	Level 3 - Effective	Level 4 - Proficient
Controlled language / File Plan / Thesaurus / Business Classification Scheme (BCS)	<p>No controlled or centralised file titling system is in place</p> <p>OR</p> <p>A partial or out-of-date BCS (or similar) exists, but is not consistently applied.</p>	One or more documented BCS (or similar) exist which cover most functions of the organization.	<p>Functions and activities are documented in one or more BCS (or similar) that covers all the functions of the organization.</p> <p>Procedures are developed for implementing the BCS (or similar).</p>	<p>BCS (or similar) are routinely reviewed for relevance and comprehensiveness.</p> <p>Classification procedures or business rules are tailored to specific business units and work processes.</p> <p>Functional classification is linked to sentencing and other recordkeeping processes (e.g. security and access).</p> <p>BCS (or similar) is regularly monitored and findings feed into training requirements.</p>

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## SRC Standard 2: Recordkeeping Plans

### Principle 4: Preservation

*Government organizations ensure that records are protected and preserved.*

### Compliance Requirements

The Recordkeeping Plan and/or supporting documentation should provide:

#### Records Disaster Recovery Plan (RDRP)

- A Records Disaster Recovery Plan (or similar) as an attachment OR detailed descriptions within the Recordkeeping Plan which demonstrate that:
  - An assessment has been made of the risks and impacts of disasters;
  - Strategies and activities have been developed and implemented for reducing the risk of disaster; and
  - Quick-response strategies and activities have been developed and implemented for recovery of electronic and hard copy records should disasters or emergencies occur.

#### Assessment of Risks to Records

- A systematic assessment of disasters (e.g. natural, biological, structural failures, industrial accidents, technological, criminal behaviour and neglect), the likelihood of these occurring (rated low, medium or high) and the risks to the organization's records, with particular regard to current storage facilities, including:

#### Onsite Records Storage

- A description of onsite records storage facilities at all locations, including, as appropriate:
  - Locations of the organization's offices that store records, including branch and regional offices (e.g. three metropolitan offices at Armadale, Perth and Joondalup and four regional offices at Albany, Kalgoorlie, Geraldton and Carnarvon);
  - Records storage facilities (e.g. metal filing cabinets, metal shelving, dedicated central filing area with metal compactus shelving etc);
  - Environmental conditions (e.g. all offices are air conditioned during office hours; regular cleaning and pest control programs etc);
  - Disaster prevention methods in place (e.g. fire detection devices and automated sprinklers installed in all offices);
  - Most likely risks (e.g. All offices fire and vandalism, Carnarvon and Geraldton also at risk of cyclone); and
  - Likelihood of each risk occurring (Fire low, Vandalism – Armadale medium, remaining offices low, Cyclone medium).

#### Offsite Records Storage

- Statements addressing whether any records are stored offsite including location and details of commercial arrangements for records storage.
- Description of commercial storage facilities not contracted under a Common Use Arrangement (CUA).

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## SRC Standard 2: Recordkeeping Plans

### Principle 4: Preservation

#### Data Centre and Cloud Storage

- Statements detailing arrangements for storage of electronic information at a third party data centre or with a cloud service provider.
- Relevant information included regarding categories of records and information stored; geographical location of the data centre/cloud; geographical location of backups; completion of a risk assessment.

#### Security and Access to Records

- Statements addressing security of records storage areas and availability of access to records.

#### Storage of Archival Records

- Statements addressing whether the storage facilities utilised to house archival records meet the requirements of the *Directions for keeping State archives awaiting transfer to the State Archives Collection* with respect to: Environmental controls; Storage Mechanisms; Security and Disaster Management; Access and Control; and Preservation.

#### Storage of Backups

- Statements addressing whether backup tapes are stored offsite including location and details of any commercial arrangements for tape exchange and storage.

### Strategies for Prevention of Disasters and Loss of Records

Strategies for reducing the risk of disaster and for quick response should a disaster occur with particular reference to:

#### Vital Records

- A list of record categories identified as Vital Records, including location, responsibilities, and strategies for prevention of loss and recovery of the records following a disaster or emergency.

#### Backup Procedures

- Details of backup processes and frequency of backups, tape rotation, length of time backups are retained, responsibility etc.

#### Preservation of Electronic Records

- Strategies in place for ensuring electronic information remains useable for as long as required, periodic integrity checks and refreshment of digital storage media (including removable storage devices), use of appropriate formats for preservation of electronic records with long term retention periods etc.

#### Recovery of Lost Information

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## SRC Standard 2: Recordkeeping Plans

### Principle 4: Preservation

- Strategies in place to facilitate the recovery of hard copy and electronic records (e.g. lists of emergency contacts included in the organization's disaster recovery plan/business continuity plan, placement of recovery bins in records areas containing equipment to assist staff in the recovery process).

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## SRC Standard 2: Recordkeeping Plans

### Principle 4: Preservation

#### Maturity Indicators

Recordkeeping Activity	Level 1 – Inadequate/sub-standard	Level 2 – Acceptable but requires development	Level 3 - Effective	Level 4 - Optimal
Records Disaster Recovery Plan (RDRP)	No disaster preparedness planning is undertaken for records.	Records disaster recovery plans are out of date, or do not cover all of the organization.	Records disaster plan/s are current, include strategies for the prevention of loss of electronic and hardcopy records.  Records disaster plans cover all records storage sites.  All staff are aware of their responsibilities under such plans.	Records disaster recovery plans are regularly reviewed.  Records disaster recovery plans are regularly tested and updated in response to test results.
Assessment of Risks to Records	Records storage is primarily ad hoc and unmanaged. There are few controls on access, records may be kept in inappropriate locations and staff are largely free to move records as they see fit.	Policy reflects the requirement to store records in secure locations to minimise risk.  Designated storage areas exist but are not used for all records, or in accordance with policy.  Limited consideration of the need for secure storage for sensitive and/or business critical records.	Policies and processes exist to prevent: <ul style="list-style-type: none"> <li>the deliberate destruction, tampering with, and/or theft of records; and</li> <li>accidental damage caused by fire, flood and vermin (e.g. records storage is in defined and appropriate secured areas).</li> </ul> Records storage locations are reviewed periodically.	Regular audits and/or monitoring of storage conditions are scheduled and undertaken.  Corrective action is taken on audit findings as appropriate.  Contracts or agreements with external storage providers define appropriate conditions.
Third Party Data Centre / Cloud Storage	Risk assessments are not completed prior to the establishment of arrangements with cloud service providers.	Policy reflects requirements for use of data centres and cloud storage arrangements but is in limited use across the organization.	Policy and procedures exist to ensure risk assessments are completed prior to establishing records storage arrangements.	Contracts or agreements with cloud storage providers define appropriate requirements.

# RECORDKEEPING MATURITY MODEL

## SRC Standard 2: Recordkeeping Plans

### Principle 4: Preservation

Recordkeeping Activity	Level 1 – Inadequate/sub-standard	Level 2 – Acceptable but requires development	Level 3 - Effective	Level 4 - Optimal
Storage of Archival records	Archival records have not been identified.	Archival records are identified but storage areas do not meet the requirements of the <i>Directions for keeping State archives awaiting transfer to the State Archives Collection</i> .	Archival records storage areas meet <b>most</b> requirements of the <i>Directions for keeping State archives awaiting transfer to the State Archives Collection</i> .  Archival records storage locations are reviewed periodically.	Archival records storage areas meet <b>all</b> requirements of the <i>Directions for keeping State archives awaiting transfer to the State Archives Collection</i> .  Regular audits and/or monitoring of archival records storage conditions are scheduled and undertaken.  Corrective action is taken on audit findings as appropriate.
Storage of backups	Backups are stored onsite.	Backups are stored offsite, at a staff member's residence.	Backups are stored offsite, at a secure location, more than 1km from the server room.	Backups are stored offsite, at a secure location, more than 10km from the server room.
Strategies for prevention of disasters and loss of records - Vital records	No measures are in place to identify vital records.	Vital records have been identified but no protective measures have been developed or implemented.	A vital records plan has been developed and/or vital records protection is incorporated in the Records Disaster Recovery Plan.  Preventative measures have been implemented to protect vital records.	Identification of vital records and appropriateness of preventative measures are regularly reviewed and updated.
Strategies for prevention of disasters and loss of records - Backup procedures	Information systems are backed up on an ad hoc basis, with no formal policy or procedures in place.	Information systems are regularly backed up, but does not extend to all business units.	Policy and procedures for backups of all information systems are fully implemented and tested.  Retention periods for backups are documented.	Regular system testing, to determine whether the system can recover appropriately from system malfunctions.



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## SRC Standard 2: Recordkeeping Plans

### Principle 4: Preservation

Recordkeeping Activity	Level 1 – Inadequate/sub-standard	Level 2 – Acceptable but requires development	Level 3 - Effective	Level 4 - Optimal
Strategies for prevention of disasters and loss of records - Preservation of electronic records	No strategies are in place for preservation of electronic information with long term retention periods, or for integrity checking and refreshment of digital media.	Strategies for preservation of electronic information with long term retention periods, and integrity checking and refreshment of digital media, have been developed but are not implemented in all business units.	Policy and procedures are fully implemented to ensure electronic records with long term retention periods are maintained in an appropriate file format.	Digital media, including removable storage devices, used for storage of electronic information is regularly tested and refreshed.
Strategies for prevention of disasters and loss of records - Recovery of hard copy and electronic information	No strategies are in place for recovery of hard copy records in the event of a disaster.	Equipment required to assist in recovery of hard copy records has been identified but is not held in readiness.	Recovery of electronic information systems is included in Business Continuity/Disaster Management Plans.  A disaster recovery bin is in place to assist in recovery of hard copy records in the event of a disaster.	Business Continuity / Disaster Management Plans are regularly tested.  Staff are trained in records recovery techniques.

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## SRC Standard 2: Recordkeeping Plans

### Principle 5: Retention and Disposal

*Government organizations ensure that records are retained and disposed of in accordance with an approved disposal authority.*

#### Compliance Requirements

The Recordkeeping Plan and/or supporting documentation should provide:

##### Agency specific Retention and Disposal (R&D) Schedules

*(State government only, except where a Sector Disposal Authority applies)*

- Details of the organization's approved R&D Schedule/s.

##### Sector Disposal Authority (SDA)

*(State government only, if applicable)*

- Details of the approved SDA applicable to the organization's records.

##### General Disposal Authority for State Government Information (GDASG)

*(State government only)*

- Statements confirming that the organization has implemented the GDASG.

##### General Disposal Authority for Local Government Records (GDALG)

*(Local government only)*

- Statements confirming that the organization has implemented the GDALG.

##### General Disposal Authority for Source Records (GDASR)

*(if applicable)*

- A description of the organization's approach and methodology for digitizing source records, including evidence of established policy and procedures that comply with the requirements of the GDASR, details of the categories of records digitized and arrangements for disposal of source records.

#### Disposal Program

- Statements confirming that records are sentenced in accordance with disposal authorities relevant to the organization (ie the organization's R&D Schedule and/or the GDAs);
- The frequency of disposal programs;
- The level (e.g. CEO) of authorisation required for the disposal of records; and
- Evidence of the disposal program and its implementation.

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## SRC Standard 2: Recordkeeping Plans

### Principle 5: Retention and Disposal

#### Maturity Indicators

Recordkeeping Activity	Level 1 – Inadequate/sub-standard	Level 2 – Acceptable but requires development	Level 3 - Effective	Level 4 - Optimal
<p>Agency specific Retention and Disposal Schedules</p> <p><i>(State government only, except where a Sector Disposal Authority applies)</i></p>	<p>Agency specific Retention and Disposal Schedules are outdated, incomplete and/or only cover some functional records of the organization.</p>	<p>Authorised Retention and Disposal Schedules cover most of the functional records of the organization.</p>	<p>A current authorised agency-specific Retention and Disposal Schedule is in place and covers all records of the organization.</p> <p>Records are sentenced on creation.</p>	<p>The agency-specific Retention and Disposal Schedule is regularly reviewed for currency and comprehensiveness.</p> <p>Changes to legislation, business functions and processes are monitored to drive revisions to the agency specific Retention and Disposal Schedule.</p> <p>Disposal decisions are actively monitored and records resentenced where appropriate.</p>
<p>Sector Disposal Authority (SDA)</p> <p><i>(State government only, if applicable)</i></p>	<p>The SDA has not been implemented for records disposal.</p>	<p>The SDA is applied to records on an ad hoc or intermittent basis.</p>	<p>The SDA has been implemented and is routinely applied to relevant records.</p> <p>Records are sentenced on creation.</p>	<p>Disposal decisions are actively monitored and records resentenced where appropriate.</p>
<p>General Disposal Authority for State Government Information (GDASG)</p> <p><i>(State government only)</i></p>	<p>The GDASG has not been implemented for records disposal.</p>	<p>The GDASG is applied to records on an ad hoc or intermittent basis.</p>	<p>The GDASG has been implemented and is routinely applied to relevant records.</p> <p>Records are sentenced on creation.</p>	<p>Disposal decisions are actively monitored and records resentenced where appropriate.</p>

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## SRC Standard 2: Recordkeeping Plans

### Principle 5: Retention and Disposal

Recordkeeping Activity	Level 1 – Inadequate/sub-standard	Level 2 – Acceptable but requires development	Level 3 - Effective	Level 4 - Optimal
General Disposal Authority for Local Government Records (GDALG) <i>(Local government only)</i>	The GDALG has not been implemented for records disposal.	The GDALG is inconsistently applied to records.	The GDALG has been implemented and is routinely applied to all records.  Records are sentenced on creation.	Disposal decisions are actively monitored and records resentenced where appropriate.
General Disposal Authority for Source Records (GDASR) <i>(if applicable)</i>	The agency intends to implement the GDASR but does not have current, approved policies and procedures for digitization.	Digitization policy and procedures have been developed but are not yet fully implemented.	Digitization procedures meet the requirements of the GDASR.	Industry standards for digitization of records are monitored to drive revision of digitization practices where appropriate.
Disposal Program	No authorised records disposal is undertaken.	Disposal is undertaken occasionally, e.g. driven by office relocation or unavailability of storage space.	Disposal of records is planned and undertaken on a regular basis in accordance with policy.  Records requiring permanent archival retention are identified for transfer to the State Records Office.	Disposal of physical and electronic records occurs routinely in accordance with approved disposal authorities.  Records requiring long term or permanent retention are identified and actively managed to ensure their preservation (e.g. migration strategies for electronic records, appropriate storage for physical records).

# RECORDKEEPING MATURITY MODEL

## SRC Standard 2: Recordkeeping Plans

### Principle 6: Compliance

*Government organizations ensure their employees comply with the record keeping plan.*

### Compliance Requirements

The Recordkeeping Plan and/or supporting documentation should provide:

#### Staff Training and Awareness

- Statements which demonstrate that:
  - ongoing staff training in recordkeeping is provided, including the method of instruction (or delivery), (e.g. information sessions and/or external training courses), and topics covered in training sessions.
  - information on employees' recordkeeping roles and responsibilities is included in the organization's induction program.
- Statements addressing whether training and/or information sessions:
  - are for records management staff and/or general staff, including temporary staff, contractors, casual staff etc.
  - are provided regularly, or on an ad hoc basis.
- The regularity with which training and/or information sessions are reviewed and updated.
- Examples of training materials, e.g. brochures, handouts, intranet screen dumps etc and a copy of the induction program showing inclusion of recordkeeping, as attachments.

#### Performance Indicators

- An outline of the Performance Indicators developed to measure the efficiency and effectiveness of the organization's recordkeeping systems.

#### Evaluation of Recordkeeping Programs/Systems

- A report on the evaluation of efficiency and effectiveness of the organization's recordkeeping systems.

#### Annual Report

- An excerpt from the Annual Report where training/compliance is reported.

# RECORDKEEPING MATURITY MODEL

## SRC Standard 2: Recordkeeping Plans

### Principle 6: Compliance

#### Maturity Indicators

Recordkeeping Activity	Level 1 – Inadequate/sub-standard	Level 2 – Acceptable but requires development	Level 3 - Effective	Level 4 - Optimal
Staff Training and Awareness	Limited or no recordkeeping training or information provided to staff.	Promotion of basic recordkeeping rules to staff.	<p>Basic recordkeeping training and an introduction to recordkeeping systems is included in induction programs.</p> <p>Regular training or promotional activities to explain staff recordkeeping responsibilities.</p> <p>Specialized training in organizational records management practice for staff with specific responsibilities for records management.</p>	<p>Standardised training strategies for different aspects of recordkeeping practice across the organization.</p> <p>Regular monitoring of training programs.</p> <p>Programs reviewed and modified to reflect changes to practices and systems.</p> <p>Human resources practices include recordkeeping responsibilities in job descriptions, performance appraisal etc.</p> <p>Recruitment criteria for staff with records management responsibilities include the need for relevant specialist qualifications.</p>

# RECORDKEEPING MATURITY MODEL

## SRC Standard 2: Recordkeeping Plans

### Principle 6: Compliance

Recordkeeping Activity	Level 1 – Inadequate/sub-standard	Level 2 – Acceptable but requires development	Level 3 - Effective	Level 4 - Optimal
Performance Indicators	No mechanisms in place to measure the efficiency and effectiveness of recordkeeping systems or programs.	Documentation from ongoing monitoring and periodic reviews contain performance data on components such as policies, procedures, tools, technology and training.	A survey mechanism in place to measure levels of staff satisfaction with recordkeeping operations.  Basic corrective action has been taken in response to complaints or problems with the recordkeeping program.	Defined and standardized criteria are used regularly to assess the performance of the recordkeeping program.  Surveys of participants in training programs to evaluate the effectiveness of the training programs.  Evidence of corrective action taken on assessment reports and the effect of those actions.
Evaluation of Recordkeeping Programs/Systems	Recordkeeping programs / systems have not been evaluated in the last five (5) years.	The organization relies on ad hoc feedback from users to assess the effectiveness of recordkeeping systems.	Recordkeeping systems and programs have been evaluated at least once in the last five (5) years.  Corrective action was taken as appropriate.	Recordkeeping programs / systems are evaluated annually.  Corrective action is taken as appropriate.  Evaluation results feed into continuous improvement activities and inform major system or program reviews.
Annual Report	Recordkeeping compliance statements are not included in the organization's annual reports.	Recordkeeping training and compliance statements are included in the organization's annual reports but do not cover all reporting requirements under Principle 6.	Recordkeeping training and compliance statements, addressing all reporting requirements of Principle 6, are included in the organization's annual reports.	Planned improvements to progress the organization towards best practice recordkeeping are included in annual reporting compliance statement.

# RECORDKEEPING MATURITY MODEL

## SRC Standard 6: Outsourcing

### Compliance Requirements

The Recordkeeping Plan and/or supporting documentation should provide:

#### Outsourced Functions

- Details of functions outsourced to other organizations/bodies/persons.

#### Recordkeeping Issues Included in Contracts

- Excerpts of clauses, which address recordkeeping requirements, contained within existing contracts for outsourced functions; or
- Examples of clauses, which address recordkeeping requirements, to be included in new or amended contracts for outsourced functions.

### Maturity Indicators

Recordkeeping Activity	Level 1 – Inadequate/sub-standard	Level 2 – Acceptable but requires development	Level 3 - Effective	Level 4 - Optimal
Outsourced Functions (if applicable)	Outsourced functions have not been identified.	Some outsourced functions have been identified.	All contracted outsourcing arrangements are identified.	Business activity is monitored to identify new arrangements for outsourced functions.
Recordkeeping Issues included in Contracts (if applicable)	There is little or no consideration of recordkeeping requirements when outsourcing business activities.	Agreements with outsourced providers identify some recordkeeping requirements.	Where agency information is managed or used by external parties, the contract addresses all recordkeeping requirements of Standard 6.	Standard templates and clauses exist to ensure that recordkeeping requirements are included in all relevant outsourcing contracts.  The outsourced provider's performance against recordkeeping requirements is included in agreements and monitored.  Corrective action is taken as appropriate.