Contents

1. Introduction .................................................................................................................. 2
2. Developing an operational plan .................................................................................. 4
   2.1. Plan structure ......................................................................................................... 4
   2.2. Prioritising activities for your recordkeeping program ........................................ 7
3. Implementing an operational recordkeeping plan ...................................................... 9
   3.1. Project definition .................................................................................................. 10
   3.2. Project planning ................................................................................................... 12
   3.3. Project implementation ....................................................................................... 14
   3.4. Project completion and review ........................................................................... 16
4. Developing a recordkeeping culture .......................................................................... 16
   4.1. Developing a communication plan ....................................................................... 16
   4.2. Stakeholder profile ............................................................................................. 17
   4.3. Communication strategies and tools ..................................................................... 17

Appendices

Appendix 1: Operational Recordkeeping Program Activity Template (Example) ........ 20
Appendix 2: Framework ................................................................................................. 29
Appendix 3: Project Brief Template (Example) ............................................................... 32
Appendix 4: Project Timeline (Example) ...................................................................... 33
Appendix 5: Communication Plan Template (Example) ................................................. 35
Appendix 6: Project Status Report Template (Example) .............................................. 36
Appendix 7: Project Exception Report (Example) .......................................................... 37
1. Introduction

Information Standard 40: Recordkeeping (IS40) and Information Standard 31: Retention and Disposal of Public Records (IS31) support best practice recordkeeping in the Queensland public sector. The policy and principles in these standards are mandatory for all Queensland public authorities under the Public Records Act 2002.

In compliance with IS40, all public authorities, are required to implement a strategic approach to recordkeeping that is endorsed by the agency’s Chief Executive. Through the development of a Strategic Recordkeeping Implementation Plan (SRIP) your public authority should have examined how it performed recordkeeping at a strategic organisational level.¹

The Operational Recordkeeping Implementation Plan (ORIP) focuses on transforming the broad objectives and strategies from your SRIP into a detailed plan for action. It should link the SRIP with the activities your public authority will deliver and the resources required to deliver them.

1.1. Strategic Recordkeeping Implementation Plan

In developing a SRIP, your public authority was asked to discover what it did well and what could be improved. By using common business planning tools to draw upon corporate knowledge, experiences and business drivers the public authority articulated the benefits of good recordkeeping and how poor recordkeeping affected its ability to achieve corporate outcomes. Your public authority was also asked to identify risks poor recordkeeping exposed the public authority to, and to prioritise responses to these risks.

In addition, the development of a SRIP included the formulation of broad objectives and strategies to meet the highest risk/consequence within its organisational context. Finally, preliminary work on establishing a governance framework for coordinating, implementing and delivering a new or improved recordkeeping program was undertaken.

1.2. Operational Recordkeeping Implementation Plan

The Operational Recordkeeping Implementation Plan (ORIP) focuses on translating the broad objectives and strategies from your SRIP into a detailed plan for action. The specific strategies outlined in your SRIP will usually require more detailed project planning to implement. Further information for project planning is included within this workbook. This information is not intended to be prescriptive. Your public authority may wish to use an alternative methodology to establish a project framework.

Your ORIP should link the SRIP with the activities your public authority will deliver and the resources required to deliver them.

To achieve this, you will need to:

- Break down each strategy into manageable components or activities
- Assign responsibilities for delivery
- Develop quality criteria and timeframes
- Develop a detailed project plan for implementing compliant recordkeeping.

This workbook will help you to progress through the steps in this process.

At the end of the operational planning process, public authorities will have set a clear course of action through the selection of activities that:

- Achieve the public authority’s stated objectives and strategies as outlined in their SRIP
- Suit the public authority’s particular business requirements
- Meet the minimum requirements of best practice recordkeeping
- Meet some of the public authority’s key obligations under the *Public Records Act 2002*.

1.3. **How to use this workbook**

By progressing methodically through the sections of the workbook you will be able to analyse and outline the steps required to develop and implement a relevant ORIP. The first half of this workbook focuses on developing a direction for your organisation at the operational level, while in the second half of the workbook the emphasis is on project management and developing a recordkeeping culture.

This workbook may be of assistance to any officer responsible for planning and implementing an ORIP and who has had limited experience in planning and project management.

For those experienced in planning and project management, those sections relating directly to recordkeeping requirements may be more useful. The tools and techniques used in this workbook have been borrowed from standard project management guides and are not intended to be prescriptive. Alternative methodology may be used to define, develop and implement your ORIP.

**Further assistance**

This workbook is provided as a guide only. For further advice on any recordkeeping matters contact:

Manager, Policy and Research  
PO Box 1397  
Sunnybank Hills QLD 4109  
Queensland State Archives  
07 31317777  
Email: info@archives.qld.gov.au
2. Developing an operational plan

This section outlines activities you may undertake as part of developing your ORIP, such as defining outcomes, undertaking a cost benefit analysis and determining priorities for actions.

2.1. Plan structure

The presentation or structure of your ORIP is the choice of each public authority. Templates used for business plans in other areas of the organisation may also be suitable for an ORIP. A sample template has been provided in Appendix 1 for public authorities without a preferred planning template.

Regardless of the structure chosen, the minimum key components of the plan that should be incorporated include:

- outcomes
- activities
- responsibilities
- key performance indicators
- timeframes.

Outcomes

Outcomes describe the specific changes or improvements that will be achieved as a combined result of certain activities.

Examples:
- Internal systems and processes for managing disposal are improved
- Records management processes are integrated into daily workflows
- Accessibility of corporate information to internal clients is improved
- Improved accessibility to corporate information meets Right To Information requirements
- Intellectual control and physical protection of records is improved

Activities

Activities are the breakdown of recordkeeping strategies, such as the strategies identified in your SRIP, into manageable, distinct and discrete undertakings.

Example:

Strategy:
Develop and establish an audit program to monitor the organisation’s compliance with its legislative recordkeeping requirements

Activities:
- Incorporate recordkeeping responsibilities and competencies into performance review program
- Liaise with internal audit area to develop an audit program
- Incorporate records management processes into the scope of quality assurance program
- Develop mechanisms for auditing and checking business systems compliance, in partnership with ICT support
- Develop procedures and assign responsibility for maintaining the internal audit program.
Responsibilities

Also referred to in plans as accountability, responsibilities define who in your organisation will undertake a particular activity. In most cases, responsibilities will be delegated to people on your project team or reference group. Responsibilities for specific tasks should be defined in your project plan or within the responsible business unit’s work plan. The governance framework established as part of your SRIP may also provide an overview of the assignment of responsibilities.

Key performance indicators

High-level key performance indicators (KPIs) were defined as part of the strategic direction in the SRIP. Their purpose was to define indicators for measuring or verifying how well the public authority has realised the outcomes of each strategy. In an operational plan and project plan, quality performance measures become increasingly detailed to reflect the level of planning detail required.

Not all ORIP activities will warrant a separate quality criteria.

Examples of key performance indicators

<table>
<thead>
<tr>
<th>Strategy (from SRIP)</th>
<th>Key performance indicator (from SRIP)</th>
<th>Activity (ORIP)</th>
<th>Quality criteria (ORIP)</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Develop and implement strategic and operational recordkeeping implementation plans that cover all business activities within the organisation by December</td>
<td>1.1 SRIP covering all core business developed and endorsed by CEO 1.2 ORIP covering all core business records developed and ready for implementation 1.3 All staff (including new staff to the public authority and contractors) are aware of the objectives and deliverables of the SRIP and ORIP</td>
<td>1.1 Analysis of existing business and recordkeeping systems is undertaken to inform development of ORIP 1.2 Review SRIP strategies and develop ORIP project plan/s for implementation 1.3 Develop and promulgate appropriate policies, procedures and guidelines by 30 August 1.3 Training for new and transient staff (including contractors and temporary staff) is conducted regularly each year</td>
<td>1.1 SRIP covers all core business activities 1.2 ORIP is ready for implementation by December 2011 1.2 ORIP aligns with SRIP strategies 1.3 Recordkeeping training is incorporated into the Corporate Training Calendar Modify current policies, procedures and guidelines to ensure recordkeeping requirements are clearly identified as part of normal work processes</td>
</tr>
</tbody>
</table>
In addition to the examples given, the following prompts may be useful guides for developing KPI statements for your activities:

- improved …
- net benefit of …
- contribution of x to achievement of y
- increased participation of …
- increased level of …
- provision of …
- attendance of …
- development of …
- increased number of …
- compliance with.

### Timeframes

A timeframe should include a detailed breakdown of dates, including the end date of an activity. An established timeframe is useful for plotting a Gantt chart/PERT chart as part of a project plan.²

<table>
<thead>
<tr>
<th>Tip:</th>
</tr>
</thead>
<tbody>
<tr>
<td>If publishing and issuing your plans separately, you may wish to include an introduction to your ORIP, explaining what it contains and hopes to achieve, and its relationship to the SRIP and the wider corporate planning context.</td>
</tr>
</tbody>
</table>

Separate ORIPs may be developed for one or more business units. For small organisations or ones in which business units are very interdependent, a single ORIP is recommended.

In both large and small organisations, business units should reflect in their work plans any specific activities or tasks they have been assigned responsibility for in the ORIP.

A few examples have been listed below to illustrate compliance models:

### Examples:

A large educational institution such as a University or TAFE may choose to develop a SRIP for the organisation as a whole that reflects a shared understanding of and commitment to best practice. Each School or Department responsible for managing its records may develop its own ORIP for practical purposes (such as assigning responsibilities, determining priorities and timeframes).

A diverse State Government department that brings together several discrete entities serviced by a central records management unit may develop separate SRIPs and separate ORIPs for each division that align with an overarching strategic direction. This prepares the entities for any separation in the event of a Machinery of Government change.

A small local government authority planning to collaborate with a neighbouring Council on many activities, would develop its own ORIP, but may document those activities for which they have joint responsibilities.

²A Gantt chart is a graphical representation of the duration of tasks against the progression of time, [http://www.ganttchart.com/](http://www.ganttchart.com/). The Program (or Project) Evaluation and Review Technique, commonly abbreviated PERT, is a model for project management designed to analyse and represent the tasks involved in completing a given project.
2.2. Prioritising activities for your recordkeeping program

Progressing through this section of the workbook will provide an understanding of what you need to do to achieve the requirements for good recordkeeping, with reference to the strategies identified in your SRIP. It is also intended to inform strategic choices in terms of selecting the most important and urgent activities for meeting your public authority’s immediate business needs.

In most cases, given the investment required in terms of time or money, the choice of activities will need to be supported by evidence of proven returns on investment, and should identify incremental programs and maximise the use of existing staff and resources.³

Some useful data that could form the basis for evaluating potential activities may have been collected in the process of developing your SRIP. In other cases, however, greater research will need to be done to refine the organisation’s understanding of the issues broadly identified in the SWOT and risk analysis. A clear, shared understanding of the issues will help in selecting remedial activities.

Whichever tool or processes that you use to select a path of action, remember that when evaluating an activity, it may entail a number of optional or prerequisite components. For example, the development of a functional thesaurus may entail an IT component, training, role and responsibility redefinition, and other complementary improvements such as a new filing or numbering system.

Further mandates for recordkeeping activities within your organisation are often detailed in the regulatory, legal or policy framework to which your organisation is subject, or which it administers. Your obligations under these instruments should have been identified within the recordkeeping profile assessment undertaken as part of your SRIP. If you have not already done so, it is recommended you review this framework to ensure you have fully identified all of your external and internal recordkeeping obligations. Further information about investigating relevant framework is contained in Appendix 2 of this workbook.

Undertaking a cost-benefit analysis

With limited resources at their disposal, management needs to be convinced investments are well justified. In particular, it needs to be demonstrated that:

- there is a need to do something – i.e. the problem is genuine
- all possible solutions have been considered, and
- the proposed solution has been recommended on the basis of sound reasoning.

A cost-benefit analysis demonstrates the merits and weaknesses of each recordkeeping option from the manager’s perspective by providing evidence of best value or investment opportunity. The results of the analysis are a valuable justification tool, which can be used in a business case to obtain management support for records management or information management projects.

Costs may include time, effort (determined by the degree of difficulty), and resources required. Of course, time, effort and resources may also be factors that work in the organisation’s favour and will recommend the activity as the preferred option. For example, the costs incurred in undertaking an activity may be less than the costs incurred if no action was taken at all.

Benefits can be classed as tangible and intangible. Tangible benefits are quantifiable service or financial gains to the organisation. Tangible benefits may include:

- improved effectiveness (e.g. improved service delivery, improved access)
- improved efficiency (e.g. reduced costs, more efficient use of existing resources)
- enabling or supporting other benefits (e.g. using business process analysis for work process re-engineering)
- effective fraud control
- improved service delivery (to internal or external clients)
- improved product (e.g. information) quality through improved processes.

Intangible benefits are non-quantifiable improvements. These are still valuable outcomes to use in convincing management to undertake a proposed recordkeeping project. Intangible benefits include:

- support for whole of government or agency-wide outcomes
- compliance with legislative obligations
- achieving best practice standard, i.e. compliance with International Standards Organisation Records Management Standard (ISO 15489)
- reduced exposure to litigation due to appropriate records and information management
- improved management of corporate memory
- growth in organisational knowledge and expertise
- improved policy formation and delivery
- increased organisational productivity
- minimisation of waste and improved value for money
- increased trust in, and use of, recordkeeping systems.

Organisations have little choice but to comply with legislative requirements. Therefore, attempting to quantify intangible benefits may not be sufficiently effective in supporting your business case. Emphasising the tangible benefits of achieving compliance will be of more importance.

Further guidance about undertaking a recordkeeping cost benefit analysis is provided in Appendix 10 of the *DIRKS Manual*. Guidance on undertaking a recordkeeping feasibility study is also provided in Appendix 12 of the *DIRKS Manual*.

A consideration in cost-benefit analysis not to be overlooked is that cost savings alone will not necessarily provide the final rationale for the decision. Overall policy is a strategic decision which must fit in with the overall organisational culture.

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Determining priorities

Having undertaken a cost-benefit exercise, the organisation will be in a better position to assess the priority that should be given to various activities. Activities requiring a large investment of resources may be given a high long-term priority but lower immediate priority.

The organisation’s operational priorities will ultimately be determined by such factors as the immediacy of risk exposure (the impact and likelihood of risks should have been assessed as part of developing your SRIP), the availability of estimated time and resources required to undertake the activity, any prerequisite or dependent activities that need to be done first, and the capacity of the organisation to undertake the activity in the short-term (e.g. skills). Priority levels may also be determined by existing commitments, delivery of other related projects, or external opportunities and threats.

An effective plan will provide a balance between easy “wins” that are achievable in the short-term and activities that will contribute to achieving longer-term objectives of the SRIP.

Most public authorities will have current projects. For example, some may currently be selecting and implementing new records management software or developing a Retention and Disposal Schedule. These current projects should be reflected in the operational plan as activities.

Activities that cannot be completed within the first planning cycle may be flagged for consideration for future plans. The analysis undertaken in this section can therefore be used as the basis for future planning.

3. Implementing an operational recordkeeping plan

This section of the workbook will guide the development of a detailed project management plan for the implementation of improved recordkeeping behaviours within the parameters defined in your organisation’s SRIP and ORIP. If you decide to treat certain activities as sub-projects then the tools may also be useful in the development of detailed plans for each individual project identified in the ORIP.

A project is different to routine operational work. Projects have the following characteristics:

- a defined beginning and end (i.e. are not ongoing)
- are carried out to meet defined objectives
- predetermined quality, cost and timeframe objectives
- bring together necessary resources
- often use resources only part time.6

Activities that will require dedicated resources beyond those allowed for in the budget, will require specialist skills or teams, and need to be done quickly, or as a priority, may qualify for management as projects. Activities that are an extension of normal operational functions can be undertaken within current budget and skills set, and do not require cross-agency cooperation and reporting, may be allocated to business units (rather than project teams) and integrated into the normal work plan of the business unit.

Regardless of the management option selected, each activity should be identifiable in the ORIP and progress reported in project team reports.

The purpose of the project management framework is to ensure the implementation of your SRIP and ORIP is supported, planned, managed and accountable. Specifically, it ensures that your organisation succeeds in achieving its stated objectives.

The project planning methodology described in this section is just one methodology option. You may prefer to use an alternative methodology that has been standardised for your organisation.7

The four phases in project planning are outlined in the table below:

### Project planning phases

<table>
<thead>
<tr>
<th>Stages:</th>
<th>Steps</th>
<th>Outcomes</th>
<th>Documentation</th>
</tr>
</thead>
<tbody>
<tr>
<td>Define</td>
<td>Background</td>
<td>Project proposal</td>
<td>Project Brief</td>
</tr>
<tr>
<td></td>
<td>Scope</td>
<td>Approval/endorsement</td>
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<td></td>
<td>Strategies</td>
<td>by senior management</td>
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<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Plan</td>
<td>Tasks</td>
<td>Clear direction and performance targets</td>
<td>Project Plan, including:</td>
</tr>
<tr>
<td></td>
<td>Responsibilities</td>
<td></td>
<td>Schedule</td>
</tr>
<tr>
<td></td>
<td>Outcomes</td>
<td></td>
<td>Budget</td>
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<tr>
<td></td>
<td>Deliverables</td>
<td></td>
<td>Risk assessment</td>
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<tr>
<td></td>
<td>Quality criteria</td>
<td></td>
<td>Risk treatment register or</td>
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<tr>
<td></td>
<td>Task scheduling</td>
<td></td>
<td>Contingency plan</td>
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<tr>
<td></td>
<td>Budget/Resources</td>
<td></td>
<td></td>
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<tr>
<td></td>
<td>Risk management</td>
<td></td>
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<tr>
<td>Implement</td>
<td>Monitoring</td>
<td>Outcomes achieved through process and</td>
<td>Progress reports</td>
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<tr>
<td></td>
<td>Reporting</td>
<td>cultural change</td>
<td>Communication plan</td>
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<tr>
<td></td>
<td>Corrective action</td>
<td></td>
<td>Minutes of meetings</td>
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<tr>
<td></td>
<td>Communication</td>
<td></td>
<td>Change control mechanism</td>
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<tr>
<td>Complete and</td>
<td>Evaluation</td>
<td>Project sign-off and identification of key</td>
<td>Supporting documentation</td>
</tr>
<tr>
<td>Review</td>
<td>Marketing/Promotion</td>
<td>lessons</td>
<td>Evaluation report</td>
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</table>

3.1. **Project definition**

In this section, you will begin to develop a project brief which is intended to provide a firm foundation for the initiation of the project. The project brief should outline requirements and expectations to ensure all relevant parties have a clear understanding and acceptance of the project information, while defining parameters for the project.

This step is best done by brainstorming with the project team, in the first instance, and then through consultation with stakeholders.

**Background**

Include information about how the project came about and the existing problems it seeks to address. You may also include research you have undertaken to investigate how others in the same industry or sector have dealt (or not dealt) with the same problem and any trends or forecasts gleaned from research relevant to your case.

Explain briefly how the project will satisfy key drivers and mandates, as well as any opportunities that will be pursued as part of the project’s strategic purpose.

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7 Information about endorsed project methodology for State Government departments can be found at [http://methodologies.govnet.qld.gov.au/Pages/default.aspx](http://methodologies.govnet.qld.gov.au/Pages/default.aspx)
Scope

To implement a successful project it is important you define and secure agreement about what will be included and excluded. Many projects fail at the implementation stage due to scope creep, resulting in a blow out of budgeted time, resources and commitment. You may wish to flag known issues outside the scope of the project that may be addressed in future or related projects.

The scope of the ORIP Project should reflect the extent to which recordkeeping activities need to take place. That is, it should cover:

- All work groups and business units involved in transacting business on behalf of the organisation
- All the individuals (including agents, contractors and elected government representatives) who create or receive business records
- All business processes that result in business records being created
- All corporate records that are required as evidence of the organisation’s activities to satisfy legal, accountability or information needs
- All business and recordkeeping systems that create or store business records.

You may wish to use the scope previously defined in your SRIP, or you may wish to modify it.

Dependant and related projects

If relevant, you may include links to other initiatives within your organisation specifically, or at the whole of government level, in order to:

- Highlight potential savings
- Identify synergies with whole-of-government priorities
- Highlight initiatives that will either add value to investments made in your project, or conversely, how your project will maximise investments already made elsewhere.

Anticipated constraints and risks

Sources of risk to your project may include:

- Cultural issues
- Resource issues (including availability of skills)
- Management support
- Supporting infrastructure issues (including ICT infrastructure)
- Ongoing commitment
- Deadlines and timeframes
- Quality targets.

You may use the example project brief template (Appendix 3) or you may like to develop one as part of a personalised corporate suite of templates for improving data capture. Project management is typically one activity that would benefit from improved documentation and records management controls.
3.2. Project planning

In this section, you will outline specific details about the plan in order to set a clear path for progress. While the project brief provided a high-level overview of the project, a project plan will allow you to define and achieve agreed objectives, and coordinate multiple resources within time and cost restraints.

Identifying project tasks

Outline the steps or tasks to be undertaken. If there are a number of options and a decision needs to be made as to which one should be followed, include a short description of each and the recommended strategy or approach. Include a brief justification for your recommendation.

By breaking down each project activity into its logical components, the task becomes more manageable. You only need to break down the activity to a level of detail that will ensure you will get the anticipated results. The level of detail required to initiate the activity will also partly depend on the expertise of the staff responsible for undertaking it, and the level of risk or potential for error associated with the various stages.

Responsibilities

At this stage, it is important to indicate who will be assigned responsibility to undertake each activity and task. Assigning responsibilities early on in your project planning will help you to determine likely task duration (based on knowledge, experience and availability of the person/unit) and task start times (based on availability) in the next stage of this planning section.

Project outcomes

Critically, the benefits of the outcomes should be able to be readily understood by others outside the project team. Most importantly, they should be perceived as significant by senior management. If the benefits require detailed explanations or technical knowledge, try to think about what the end user cares most about and how the project outcomes will meet their needs. Identify two to six clear, specific results that will be achieved by the project.

**Example:**

A flexible … A compliant…
A cost effective … An efficient …
A reliable… A rigorous…
A comprehensive… A quality…
A streamlined… An integrated …

Deliverables

Deliverables are the tangible products that must be completed and delivered at the end, or at various stages of the activity or project. They should be documented in the project plan.

**Example:**

A plan A report
A system specification A training or awareness session
A policy A procedure or guideline
A tender A business case
A discussion paper A survey
Quality criteria

Quality criteria are measurable characteristics that define the desired standard of results. Published quality standards and regulations may dictate some of the requirements of these characteristics, while others are dictated by business or user requirements.

The level of detail you provide within quality criteria will depend on the level of detail required to ensure you achieve the desired results. For some activities, detailed criteria will be required to accurately measure the desired quality of results has been achieved. Some examples of quality criteria for a new recordkeeping system might include the following:

- Must support a three level Thesaurus/Keyword AAA
- Must support three levels of security for access
- Must support the approved agency-specific Retention and Disposal Schedule and GRDS
- Must support management of electronic records
- Must have the ability to interface with other corporate business applications (eg. Word, TRIM etc)
- Must incorporate auditing functionality
- Must comply with Queensland Recordkeeping Metadata Standard
- Must enable movement tracking
- Must enable version control
- Must be able to produce corporate quality reports.

Task scheduling/sequence and timeframes

Once you have broken down each project activity into its logical components, you can begin to work out the sequencing and relationships between tasks. That is:

- Tasks that cannot begin until prerequisite tasks are complete
- Tasks that must begin when other prerequisite tasks are started
- Tasks that may be undertaken either simultaneously or consecutively.

This process will help to identify the shortest time required to complete the project.

In developing your project plan and identifying the interdependencies between the various tasks, it will become evident that tasks fall into groups – at the end of which certain outcomes/outputs/deliverables are achieved. An example project timeline table, including key tasks/milestones is located in Appendix 4. Your project plan should include a similar table which breaks down the key tasks and timeframes associated with the project.

Project budget and resources

Strong CEO support and adequate resources are essential for the successful implementation of your ORIP.

The degree of detail you provide in your project plan in terms of estimated costs will depend on your organisation’s requirements. Within the public sector all costs are calculated so they are accurately accounted for in the corporate budget. This also enables service providers to charge for associated costs.
As a minimum, it is recommended the following budget items are included:

- Labour (existing and additional staff, including consultants)
- Capital/Equipment (to be purchased)
- Operational/Other Expenses (to be directly incurred by the project).

**Project risk management - contingency planning**

Project risks may be identified and assessed by the project team using the same risk assessment process as in the SRIP.

Sources of potential risk for projects may include:

- Money, time and quality constraints
- Stakeholder acceptance
- Cultural issues
- External threats (e.g. Administrative change)
- Technological failure
- Availability of supplies and contractors
- Competing priorities (e.g. other projects).

Based on the risk analyses recorded in the project risks assessment register (see Risk assessment register, Appendix A, SRIP Workbook), the contingency plan or risk treatment plan is simply a tool for documenting treatment options. Treatment options may include alternative activities, tasks or methodologies evaluated as part of the activity selection and prioritisation stage. For example, options ranked second or third in a cost-benefit exercise, may be suitable alternative options when risks arise.

### 3.3. Project implementation

**Monitoring and reporting mechanisms**

Timely reporting and corrective action is fundamental to ensuring the project stays within quality, time and budget constraints. By setting in place mechanisms for reporting, monitoring, and for facilitating regular dialogue or contact between the project team, consultants, sponsor and stakeholders, you will be best able to manage issues as they emerge.

Questions you may need to consider include:

- Who will need to meet and how often?
- What aspects of the implementation process will need to be documented and reported on?
- What types of reports will need to be generated and at what stages?
- What decision-making authority will project team members have?
- What decision-making authority will the project manager have?
- On what matters will the project sponsor have decision-making powers?

Tools for monitoring your project and ensuring regular communication may include:

- Weekly/Fortnightly/Monthly project team meetings
- Weekly/Fortnightly/Monthly meetings between project manager and project sponsor
- Project status report (template - Appendix 6)
• Project meeting agenda template
• Project meeting minutes template
• Issues log
• Exception reports (template - Appendix 7)
• Project variation reports
• Gantt/PERT chart
• Briefing notes
• Product tests
• Progress reports/ presentations to stakeholders
• Documented authorisations for expenditure and decision-making

In order to demonstrate compliance with your project plan, reports should document variations of time, cost and quality between projected targets and actuals.

**Change control mechanisms**

Because few projects run exactly according to plan, procedures and strategies should be established for managing changes to the original project plan that may arise from:

- Variations to or refinement of stakeholder or organisational requirements
- The eventuation of risks identified in the project brief
- Project targets being exceeded
- Unforseen difficulties.

Control mechanisms may include but are not restricted to:

- Reporting procedures (eg. project variation report)
- Documentation (e.g. contract variation form)
- Corrective actions (e.g. contingency plan).
- Authorisations.

<table>
<thead>
<tr>
<th>Example authorisations:</th>
</tr>
</thead>
<tbody>
<tr>
<td>The Project Manager may vary milestones by up to one week without further approval.</td>
</tr>
<tr>
<td>Non-labour budget expenditure on the project is to be in accordance with expenditure delegations and approval processes relevant to the General Manager Corporate and Executive Services office budget.</td>
</tr>
<tr>
<td>On task time for each working group member can be varied as necessary to achieve specific deliverables.</td>
</tr>
</tbody>
</table>

Your control mechanisms should allow the project team, project manager or project sponsor to respond quickly to a variety of scenarios, varying in their extent and causes, and their impact on project timeframes, budget or quality.

For most minor changes (such as minor variations to user requirements and minor variations in timeframe (usually longer rather than shorter), a simple process for reporting, and negotiating variations will suffice to keep the project on track. You may wish to use the Project Exception Report in Appendix 7, or a similar document to record any changes that occur throughout the project.
For more significant project risks (such as major funding or political obstacles, changes to the project objectives, or shifts in the organisation’s understanding of the problem), a contingency plan should be developed as part of project risk management during the project planning stage.

3.4. Project completion and review

Proper project completion and review is an important stage of any project and will ensure the value of your project is communicated and known to senior management and staff in general, now and into the future. The results of evaluation can also feed into any future projects undertaken in this area. Ensure any records created or received by contractors and consultants and relating to the project are retained by your organisation.

Things you will need to ensure are completed before the project team is disbanded include:

- All accountability requirements are met (records have been created, registered and filed)
- Management sign off on project objectives
- Training is rolled out to those who require it
- Project is reviewed and evaluated through stakeholder feedback, performance evaluations, debriefs, etc.
- Achievements are acknowledged.

4. Developing a recordkeeping culture

A corporate and government-wide culture in which there is an understanding and appreciation of the value of making, keeping and managing full and accurate records for business, accountability and cultural purposes will facilitate the implementation of effective recordkeeping policies and procedures within your public authority. This is particularly important in the digital environment where recordkeeping activities have largely been devolved to end-users. In this environment a positive and proactive recordkeeping culture needs to be established throughout each public authority.

The purpose of this section is to look at the people and communication required to support change within an organisation and to provide some strategies for harnessing enthusiasm and creativity, and neutralising negativity and resistance.

4.1. Developing a communication plan

The establishment of a positive recordkeeping culture represents a significant challenge for a number of public authorities. While most public authorities are now familiar with the principles of IS40 and IS31, ongoing work is required to embed the recordkeeping principles within business processes. A communication plan will help realise the returns on investments in best practice initiatives.

A communication plan can be described as a plan for effectively delivering the right information to the right people at the right time. The dual purpose of the plan is to secure cooperation and support, and to ensure the organisation and its key stakeholders enjoy maximum benefits from the initiative. You may choose to use the communication plan template included as Appendix 5 to assist with identifying and recording the key elements and objectives.

In developing a communication plan to help you achieve your objectives and avoid resistance, it is important to keep in mind the following points:
Growing awareness:

Signal the need for change to your internal stakeholders early, take them on the journey. For example, you may conduct awareness or information sessions about the issues and the possible solutions, prepare a brief for management to raise issues before requesting a meeting, or conduct a survey to gauge awareness and stimulate thought about the issues.8

Gaining commitment:

Stakeholder buy-in and commitment to the solution is only possible once an awareness and understanding of the issues has been established. Consult with and develop an understanding of what the stakeholders expect and determine how the ORIP may meet these needs or address these issues.

Sustaining change:

Sustaining commitment and interest from stakeholders, particularly through difficult patches, is essential for ensuring people do not revert to old behaviours. If the change is known to have benefits for them, your stakeholders will be more likely to sustain interest.

4.2. Stakeholder profile

If you have not already done so as part of your SRIP planning process, it would be useful to think about who your stakeholders will be in terms of staff affected by the implementation of the new initiative, and the human resources needed to implement the new recordkeeping program. You may also need to consider whether any external stakeholders will be impacted by actions or outcomes of your ORIP.

Understanding your stakeholders is about developing your knowledge of their expectations, training needs, sources of fears or concerns, motivations and cultural norms. Awareness of these issues should inform your choice of communication strategies, key messages, training strategies, opportunities for consultation, participation or involvement, and strategies for conflict resolution.

There are a number of ways you can learn more about your stakeholders. For example:

- Conduct one-on-one interviews
- Consult through meetings and workshops
- Attend meetings of established user groups or interest groups
- Conduct a survey of user requirements and attitudes
- Refer to documented complaints, enhancement or change requests.

4.3. Communication strategies and tools

When thinking about strategies and tools for conveying information to your stakeholder groups, be creative. Doing something different will grab people’s attention and hopefully make the message more memorable. Though the communication strategies and tools listed below by way of examples are not new, you are only limited by your own imagination as to how they can be made relevant and interesting to your audience.

<table>
<thead>
<tr>
<th>Examples:</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Sponsor’s briefing</td>
</tr>
<tr>
<td>• Project launch (Organisation-wide or area by area)</td>
</tr>
</tbody>
</table>

8 Recordkeeping Awareness Raising resources are available for the use of public authorities on the Queensland State Archives website: [www.archives.qld.gov.au](http://www.archives.qld.gov.au)
Training

Most organisations will attest policies and procedures are only as effective as the staff who implement them on a daily basis. A lack of commitment to, and awareness and ownership of, corporate recordkeeping policies, procedures and standards by staff will result in failure to achieve a sound recordkeeping culture. Creating a recordkeeping culture will require training and on-going communication to encourage continuous improvement, information sharing, and sustained interest.

Training will need to address both the specific needs of those staff with primary responsibility for records management activities requiring specialist skills (e.g. appraisal, policy development, etc), and all other staff within an organisation. Multi-skilling of staff may also help to avoid a common situation where a recordkeeping function is wholly dependent on the presence of one individual.

Training and recordkeeping awareness opportunities should be considered in:

- Professional development plans
- Skills audit and self-assessment programs
- Corporate/individual membership of industry associations
- Induction training programs
- Performance reviews
- Communication/ marketing and change management processes

Queensland State Archives provides information about a range of recordkeeping training opportunities for Queensland public authorities and their employees. To assist in developing a recordkeeping training program within your public authority Queensland State Archives has developed the following training modules:

- Managing Emails that are Public Records – Online Training Module
- Introduction to Recordkeeping
- Trainer's Manual: Introduction to Recordkeeping

To view this information or to access available online training resources visit www.archives.qld.gov.au
It is also important to provide services and support to staff adapting to a new recordkeeping culture. These types of resources can include interactive digital tools or physical contact in the form of information sessions or staff mentoring programs that support the transfer of knowledge or assistance. Internet and intranet access enables many of these services to be provided online, and also supports strong communication between public authority employee networks. This is especially effective in large, geographically dispersed organisations.

External organisations that provide support and information about recordkeeping include:

- Queensland State Archives: www.archives.qld.gov.au
- Australian Society of Archivists (ASA): www.archivists.org.au
Appendix 1: Operational Recordkeeping Program Activity Template *(Example)*

**Note:** The following table is **not** a checklist. It contains examples only, which public authorities can refer to when developing their own quality criteria targets. The strategies, deliverables and performance indicators adopted by your organisation must be relevant to your corporate objectives and the functions and services you provide.

### Table 1: Operational Activity Planning Template

**Strategy 1:** Legislation, regulations and formal directives to which the public authority or program is subject have been systematically and comprehensively identified and documented.

<table>
<thead>
<tr>
<th>Activity Number</th>
<th>Activity Description</th>
<th>Deliverables</th>
<th>Responsibility (Primary)</th>
<th>Responsibility (Others)</th>
<th>Timeframe</th>
<th>Quality criteria</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Establish a register of relevant legislation, regulations and formal directives and their associated recordkeeping requirements.</td>
<td>Register of legislation, regulations and formal directives affecting the organisation is established.</td>
<td>Senior Records Manager</td>
<td>Records managers within units</td>
<td>December</td>
<td>Register of legislation, regulations and formal directives is current and comprehensive.</td>
</tr>
<tr>
<td>2</td>
<td>Investigate and document the legal, business and cultural recordkeeping requirements of the organisation.</td>
<td>Legal and regulatory recordkeeping requirements of the organisation are documented.</td>
<td>Senior Records Manager</td>
<td>Legal Unit Records managers</td>
<td>December</td>
<td>Documentation of legal and regulatory framework is accurate and comprehensive.</td>
</tr>
<tr>
<td>3</td>
<td>Develop and implement business rules and procedures that reflect recordkeeping requirements imposed by legislation, regulations, statements of best practice and formal directives.</td>
<td>Internal recordkeeping policy and business rules are developed and implemented.</td>
<td>Senior Records/Information Managers</td>
<td>Legal Unit Records Managers CEO (endorsement)</td>
<td>March</td>
<td>Consultation is undertaken when policy and business rules are drafted. Business rules and procedures are relevant and comprehensive.</td>
</tr>
</tbody>
</table>
**Strategy 2:** Organisation-wide monitoring mechanisms are in place to measure compliance with legislation, standards and codes of best practice issued by Government and other organisations, including developing and implementing a planned records management audit regime.

<table>
<thead>
<tr>
<th>Activity Number</th>
<th>Activity Description</th>
<th>Deliverables</th>
<th>Responsibility (Primary)</th>
<th>Responsibility (Others)</th>
<th>Timeframe</th>
<th>Quality criteria</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Develop or adapt an internal audit and self-assessment plan for records management practices, systems and procedures.</td>
<td>Internal audit developed Self-assessment plan developed.</td>
<td>Senior Records/Information Manager</td>
<td>Consultation with other relevant staff</td>
<td>September</td>
<td>Internal audit assesses all core business recordkeeping processes and systems.</td>
</tr>
<tr>
<td>2</td>
<td>Implement an external audit program to measure compliance of records management practices, systems and procedures</td>
<td>External audits are implemented and undertaken on a regular basis</td>
<td>Senior Records Manager Business Manager</td>
<td>External consultant</td>
<td>June</td>
<td>External audit program conducted every 2 years. External audit covers all core business recordkeeping processes and systems.</td>
</tr>
<tr>
<td>3</td>
<td>Assign recordkeeping monitoring and auditing responsibilities.</td>
<td>A governance framework establishing recordkeeping monitoring and auditing responsibilities is established.</td>
<td>Senior Records Manager</td>
<td>All records management staff</td>
<td>December</td>
<td>Governance framework incorporates all key roles.</td>
</tr>
<tr>
<td>4</td>
<td>Monitor and update internal audit regimes as external audit requirements are altered and updated.</td>
<td>Current and relevant internal audit regime.</td>
<td>Senior Records Manager</td>
<td></td>
<td>Ongoing</td>
<td>Internal audit regime is current and comprehensive Audit regime is updated as required in a timely manner.</td>
</tr>
<tr>
<td>5</td>
<td>Document and undertake corrective actions resulting from all audits and reviews.</td>
<td>Records management processes and systems which reflect any corrective actions resulting from all audits and reviews.</td>
<td>Senior Records Manager All records management staff All public authority staff</td>
<td></td>
<td>Ongoing</td>
<td>Corrective actions resulting from audits and reviews are implemented within 3 months of audit or review.</td>
</tr>
</tbody>
</table>
**Strategy 3:** Appropriate delegations of responsibility in the management of records have been identified, documented and assigned.

<table>
<thead>
<tr>
<th>Activity Number</th>
<th>Activity Description</th>
<th>Deliverables</th>
<th>Responsibility (Primary)</th>
<th>Responsibility (Others)</th>
<th>Timeframe</th>
<th>Quality criteria</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Define, document and assign roles and responsibilities of the development for all records management functions.</td>
<td>A recordkeeping governance framework has been established that identifies and assigns roles and responsibilities for the development of all records management functions.</td>
<td>Project Manager/Records Manager</td>
<td>Project team/Records Management Staff</td>
<td>December</td>
<td>Recordkeeping governance framework incorporates all key roles and responsibilities.</td>
</tr>
<tr>
<td>2</td>
<td>Define, document and assign roles and responsibilities for the maintenance of the recordkeeping program.</td>
<td>A recordkeeping governance framework has been established that identifies and assigns roles and responsibilities for the maintenance of all records management functions.</td>
<td>Project Manager/Records Manager</td>
<td>Project team/Records Management Staff</td>
<td>December</td>
<td>Recordkeeping governance framework incorporates all key roles and responsibilities.</td>
</tr>
<tr>
<td>3</td>
<td>Incorporate recordkeeping responsibilities in staff performance reviews.</td>
<td>New template for staff performance review incorporating recordkeeping responsibilities.</td>
<td>Records Manager/ HR Manager</td>
<td>Managers and Team Leaders</td>
<td>September</td>
<td>Template incorporating recordkeeping responsibilities is created and is used at all staff performance reviews.</td>
</tr>
</tbody>
</table>
### Strategy 4: Records management training is incorporated within the staff training and development program

<table>
<thead>
<tr>
<th>Activity Number</th>
<th>Activity Description</th>
<th>Deliverables</th>
<th>Responsibility (Primary)</th>
<th>Responsibility (Others)</th>
<th>Timeframe</th>
<th>Quality criteria</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Provide written guidelines and ongoing training to help employees (including agents and contractors) and workgroups meet their recordkeeping responsibilities.</td>
<td>Produce revised recordkeeping guidelines for employees. Deliver recordkeeping training to 80% of staff.</td>
<td>Project Manager/Records Manager</td>
<td>Project team members</td>
<td>September</td>
<td>Useful and comprehensive recordkeeping guidelines are provided to all levels of staff. 80% of staff to have attended revised recordkeeping training by December. All new staff to attend recordkeeping training within induction period.</td>
</tr>
<tr>
<td>2</td>
<td>Incorporate recordkeeping requirements and responsibilities into all tender specifications, contracts and service level agreements.</td>
<td>Develop new contract templates incorporating recordkeeping obligations for all tender contracts and service level agreements.</td>
<td>Records Manager/Legal Unit</td>
<td>All staff processing contracts</td>
<td>December</td>
<td>Contract templates incorporate recordkeeping obligations. All public records relating to work undertaken by contractors or service providers are registered within the public authority’s recordkeeping system and are returned to the public authority at completion of contract.</td>
</tr>
</tbody>
</table>
**Strategy 5**: The organisation has a formal and identifiable records management program, supported by appropriate resources

<table>
<thead>
<tr>
<th>Activity Number</th>
<th>Activity Description</th>
<th>Deliverables</th>
<th>Responsibility (Primary)</th>
<th>Responsibility (Others)</th>
<th>Timeframe</th>
<th>Quality criteria</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Develop and implement an endorsed corporate policy that supports the aims of the records management program.</td>
<td>Corporate records management policy that supports the aim of the records management program is developed and endorsed by senior management.</td>
<td>Project Manager</td>
<td>Records Manager, CEO (endorsement)</td>
<td>December</td>
<td>Corporate recordkeeping policy is endorsed by senior management.</td>
</tr>
<tr>
<td>2</td>
<td>Implement the records management program across the entire organisation.</td>
<td>The records management program is rolled out to the entire organisation.</td>
<td>Project Manager/Records Manager</td>
<td>Project Team, Senior Management, Records managers</td>
<td>December</td>
<td>All areas have implemented the records management program across all core business records in the scheduled timeframe.</td>
</tr>
<tr>
<td>3</td>
<td>Assign appropriate ongoing resources to support the records management program.</td>
<td>The records management program is incorporated within the annual budget on an ongoing basis.</td>
<td>Senior Management</td>
<td>CEO endorsement</td>
<td>December</td>
<td>The annual budget allocates adequate funding to resource the records management program.</td>
</tr>
<tr>
<td>4</td>
<td>Assign formal responsibilities for all aspects of the records management program.</td>
<td>A detailed recordkeeping governance framework is developed that assigns formal responsibilities for all aspects of the records management program.</td>
<td>Project Manager/Records Manager</td>
<td>CEO endorsement</td>
<td>December</td>
<td>Recordkeeping governance framework identifies and assigns formal responsibilities for all aspects of the records management program</td>
</tr>
<tr>
<td>5</td>
<td>Periodically review and evaluate the effectiveness of the records management program.</td>
<td>A review schedule for the records management program is established.</td>
<td>Project Manager/Records Manager</td>
<td>Records managers</td>
<td>Ongoing</td>
<td>Records management program is reviewed within the annual planning cycle or on a regular basis.</td>
</tr>
<tr>
<td>Activity Number</td>
<td>Activity Description</td>
<td>Deliverables</td>
<td>Responsibility (Primary)</td>
<td>Responsibility (Others)</td>
<td>Timeframe</td>
<td>Quality criteria</td>
</tr>
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<td>-------------------------------------------------------------------------------</td>
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<td>----------------------------------------------------------------------------------</td>
</tr>
<tr>
<td>1</td>
<td>Develop and implement metadata requirements for all manual and electronic records management systems.</td>
<td>Minimum metadata requirements for all manual and electronic record management systems are established in accordance with the QRKMS.(^9)</td>
<td>Records Manager</td>
<td>ITC records support staff</td>
<td>December</td>
<td>All core business records are captured in the records management systems. 100% of records include required mandatory metadata.</td>
</tr>
<tr>
<td>2</td>
<td>Implement audit trails to ensure capture of data relating to actions and transactions involving a record.</td>
<td>The record management system captures audit trails relating to actions and transactions involving all core business records.</td>
<td>Records Manager ITC Records Support</td>
<td>ITC support staff Records managers</td>
<td>December</td>
<td>Audit trails are captured accurately for all record actions and transactions across all core business records.</td>
</tr>
<tr>
<td>3</td>
<td>Develop document templates to ensure full and accurate records are created.</td>
<td>New document templates are created that meet records management requirements.</td>
<td>Records Manager/ITC Records Support</td>
<td>CEO endorsement</td>
<td>December</td>
<td>Suitable document templates are created and implemented for use across the public authority within scheduled timeframe.</td>
</tr>
<tr>
<td>4</td>
<td>Develop and implement a business classification scheme.</td>
<td>Business classification scheme is developed and implemented.</td>
<td>Records Manager</td>
<td>CEO endorsement</td>
<td>December</td>
<td>Business classification system covers all core business records and is implemented within the scheduled timeframe.</td>
</tr>
</tbody>
</table>

\(^9\) The *Queensland Recordkeeping Metadata Standard and Guideline* (QRKMS) identifies metadata elements required to manage records in accordance with best practice and provides guidance on implementation.
Strategy 7: Records are preserved for as long as they are required for business, legal and historical purposes.

<table>
<thead>
<tr>
<th>Activity Number</th>
<th>Activity Description</th>
<th>Deliverables</th>
<th>Responsibility (Primary)</th>
<th>Responsibility (Others)</th>
<th>Timeframe</th>
<th>Quality criteria</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Develop and implement an approved retention and disposal schedule based on the business classification scheme.</td>
<td>A disposal schedule based on the business classification scheme is developed in consultation with Queensland State Archives.</td>
<td>Records Manager</td>
<td>Team leaders and records managers CEO and State Archivist (endorsement)</td>
<td>June</td>
<td>A comprehensive retention and disposal schedule is developed that incorporates all core business records, and is approved by the State Archivist.</td>
</tr>
<tr>
<td>2</td>
<td>Develop and implement a disaster preparedness and recovery plan.</td>
<td>A disaster preparedness and recovery plan is developed.</td>
<td>Records Manager/Records management team</td>
<td>Records Manager/Team Leaders</td>
<td>June</td>
<td>Disaster preparedness and recovery plan identifies all critical business records.</td>
</tr>
<tr>
<td>3</td>
<td>Educate relevant staff in disaster recovery procedures.</td>
<td>Disaster preparedness and recovery plan is distributed and promulgated amongst all key recordkeeping staff</td>
<td>Records Manager/Team Leaders</td>
<td></td>
<td>June</td>
<td>All key recordkeeping staff are aware of disaster recovery procedures.</td>
</tr>
<tr>
<td>4</td>
<td>Endorse or mandate policies, practices, guidelines and standards for the use of storage media and related technologies which support the long-term preservation of electronic records.</td>
<td>Internal guidelines and standards are developed that specify the appropriate use of storage media and related technologies which support the long-term preservation of electronic records.</td>
<td>ITC Records Support/Records Manager</td>
<td>Records staff</td>
<td>Dec</td>
<td>Internal guidelines/standards meet compliance requirements, are developed within the scheduled timeframe and are distributed to all staff with recordkeeping responsibilities.</td>
</tr>
<tr>
<td>Activity Number</td>
<td>Activity Description</td>
<td>Deliverables</td>
<td>Responsibility (Primary)</td>
<td>Responsibility (Others)</td>
<td>Timeframe</td>
<td>Quality criteria</td>
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<td>------------------</td>
</tr>
<tr>
<td>1</td>
<td>Identify and implement appropriate security mechanisms as part of a recordkeeping security program.</td>
<td>New firewall established on network. Existing security protocols revised and updated.</td>
<td>ITC Unit Senior Records Manager</td>
<td>ITC support staff</td>
<td>Dec</td>
<td>Firewall which meets IS18 is established by December. Existing protocols revised and updated to meet IS18 by December.</td>
</tr>
<tr>
<td>2</td>
<td>Implement <em>Information Standard 18: Security</em> (IS18)</td>
<td>Revised security protocols are compliant with IS18</td>
<td>ITC Unit Senior Records Manager</td>
<td>All staff responsible for complying with IS18 and internal security protocols</td>
<td>Dec</td>
<td>Compliant security protocols are implemented and promulgated throughout the organisation in a timely manner.</td>
</tr>
</tbody>
</table>
Appendix 2: Framework

Policy Framework

The recordkeeping policies and procedures of your organisation should reflect the application of the regulatory environment within your business processes.\(^\text{10}\) Policy:

- Exists in the form of one or more identifiable policy statements
- Is authorised at an appropriate senior level
- Is promulgated throughout the public office
- Is known by staff
- Is reviewed at regular intervals
- Is addressed in the public authority's operating procedures, business rules, manuals and employees' Code of Conduct
- Identifies any legislation, standards, codes of best practice or other external requirements to which the public authority is subject that affect recordkeeping
- Is consistent with ethical standards which are binding upon the occupations or professions of those employed by the public authority
- Identifies senior manager with defined authority for compliance with external recordkeeping standards and responsibility for internal practices, and
- Defines the authorities, responsibilities, roles and relationships of all personnel who manage or perform recordkeeping processes.

Recordkeeping policies and guidelines are available from the Queensland State Archives website: [www.archives.qld.gov.au/Recordkeeping/Pages/Publications.aspx](http://www.archives.qld.gov.au/Recordkeeping/Pages/Publications.aspx)

Tip:

Policy messages' conveying what recordkeeping behaviour is expected of staff should be consistent across those policies, procedures and standards specific to records management activities, and those relating to other corporate functions.

What sorts of things might my organisation make policies about?

- Access to corporate records (including access delegations)
- Development, procurement and use of business information systems containing corporate records
- Digital Rights Management
- Information Privacy
- Managing Emails as Records
- Outsourcing of records management functions
- Ownership of public records (including outsourcing, temporary staff and custody of records)
- Recordkeeping in times of administrative or Machinery of Government change
- Records Management/ Electronic Documents and Records Management
- Use of encryption and digital signatures and the security of records

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\(^{10}\) Standards Australia, 2001,  AS ISO 15489: Information and Documentation – Records Management
Standards

Queensland public authorities subject to the *Public Records Act 2002* must comply with the principles of *Information Standard 40:Recordkeeping* and *Information Standard 31:Retention and Disposal of Public Records*. All authorities subject to the *Financial Accountability Act 2009* are also subject to Information Standards issued under the Queensland Government Enterprise Architecture Framework (QGEA).\(^{11}\)

You may choose to develop your own additional internal standards based on the current Information Standards, where applicable. Alternatively, you may find a good example of a particular standard created by another public authority and use it as the basis for developing your own.

Internal standards should translate the recordkeeping requirements of the organisation, as defined in its policies, into quality objectives or benchmarks for the records management activities. They play a key role in ensuring business continuity and auditability.

What sort of things might my organisation make standards about?
- Records storage and security
- Data entry
- Imaging or scanning (Quality specifications for systems and outputs)
- Data migration
- File titling
- Service delivery
- Record type templates (e.g. Fax, email, file notes, etc.)

Recordkeeping audit and self assessment programs

The purpose of a monitoring and audit program is to put in place processes and mechanisms that ensure the recordkeeping program is regularly maintained and improved and Standards are complied with. Whether you choose a formal audit regime or informal monitoring (or a combination of both), your criteria for evaluation should focus on assessing compliance of recordkeeping behaviour and systems, and the improvement of the effectiveness, relevance and efficiency of the program over time.

Your program should also include processes for implementing corrective action in areas identified as requiring improvement. Areas to audit include the organisation’s compliance, records unit compliance, individual compliance and business and recordkeeping systems compliance.

Queensland State Archives provides guidance for public authorities to use when assessing their recordkeeping compliance against the *Public Records Act 2002* and the recordkeeping Information Standards. This advice and other recordkeeping resources are available at [www.archives.qld.gov.au](http://www.archives.qld.gov.au).

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Guidelines

Procedures, plans, manuals, thesauri, checklists and business process maps are all examples of publications that may be of assistance in the development and implementation of your ORIP. In order to market changes and communicate key recordkeeping messages these types of publications are vital components within a recordkeeping governance framework. Tools like these can be specifically developed to assist end-users responsible for various records management activities. These tools will empower staff within your organisation to behave as records managers by providing the procedures, solutions, and systems to help them decide:

- Is this document a record?
- Where should it be registered and kept for safekeeping?
- Can I destroy this record and what information should be kept about its destruction?
- Where and how do I go about locating records that may be on file?

Training, guidelines, systems, and other tools, are necessary to ensure staff without specialist recordkeeping knowledge understand what recordkeeping behaviour and process is required.

Queensland public authorities can refer to recordkeeping advice published by Queensland State Archives at [www.archives.qld.gov.au/](http://www.archives.qld.gov.au/)

Some relevant resources include:

- What is a Public Record?
- Who is Responsible for Public Records?
- Business Classification Schemes and Thesauri
- Identifying a Public Record in the Electronic Environment
- Guidelines and Functional Requirements for Records in Business Systems
- Guideline for Recordkeeping
- Queensland Recordkeeping Metadata Standard and Guideline
- Guideline for the Development of Retention and Disposal Schedules
- Guideline for the Planning of an eDRMS

Tip:

A security scheme aimed at managing information security (including data and records) at an operational level is one way to ensure records are protected from unauthorised access, damage or alteration while ensuring access to those records is available to authorised users.12 Your security scheme should ensure issues of privacy, confidentiality, access and security are addressed. An effective security scheme will need to incorporate physical, technical and procedural safeguards to the records and their informational and intellectual content.

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Appendix 3: Project Brief Template *(Example)*

**[INSERT PUBLIC AUTHORITY NAME] PROJECT PROFILE**

PROJECT TITLE:

1. Definition

2. Mandate and objectives

3. Scope

4. Products

5. Assumptions and constraints

6. Related initiatives

7. Project business case

8. Quality plan

9. Risks

10. Authorisation to proceed to project initiation
## Appendix 4: Project Timeline (Example)

<table>
<thead>
<tr>
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Appendix 5: Communication Plan Template (Example)

COMMUNICATION PROJECT TITLE:

1. Purpose

2. Background

3. Identified issues

4. Target audience
   - Clients
   - Other Stakeholders

5. Objectives and key messages

6. Implementation

7. Communications roles and responsibilities

8. Evaluation plan

9. Budget
Appendix 6: Project Status Report Template *(Example)*

**PROJECT TITLE:**

1. Project status
2. Stage covered
3. Activity summary
4. Activity progress
5. Risks and issues
6. Suggested actions for next stage
7. Goals for next stage
Appendix 7: Project Exception Report *(Example)*

**PROJECT TITLE:**

1. Exception analysis
   a. Exception cause - background
   b. Consequences – impact short and long term

2. Options analysis
   a. Available options

3. Recommendation

4. Conclusions
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