Recordkeeping maturity model
and road map:
Improving recordkeeping in
Queensland public authorities

October 2010
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1. Introduction

Good business practice incorporates regular review and assessment to ensure optimal performance of processes and systems. In line with this, public authority recordkeeping systems, procedures and practices should be periodically monitored, evaluated and revised to ensure they support business needs and comply with regulatory and accountability requirements.¹

Such monitoring and assessment should not be merely a compliance exercise, but used to drive improvements in recordkeeping performance, and ultimately support improved decision-making and service delivery within the organisation.

1.1 Purpose

The recordkeeping maturity model and road map are tools for use by Queensland public authorities to identify their current performance, set appropriate and relevant targets, and develop plans for action. This process recognises that good recordkeeping responds to changing organisational needs and activities through a process of continual improvement.

1.2 Audience

The intended audience for the road map and maturity model is any person involved in assessing recordkeeping performance in Queensland public authorities, including records managers, senior staff with oversight responsibility for records management, chief information officers, auditors and consultants.

1.3 Scope

The road map and maturity model are designed for use by public authorities as defined in schedule 2 of the Public Records Act 2002. The methodology outlined in this road map is scalable and public authorities are encouraged to adapt it to suit their own circumstances.

As the maturity model and road map are self-assessment tools, public authorities are not required to report on the results of any assessment to Queensland State Archives. Formal compliance monitoring will continue to be through the recordkeeping baseline surveys.² However, public authorities are encouraged to report on results of recordkeeping maturity assessment through channels such as the recordkeeping section of their annual report.

The road map and maturity model cover the management of all public records, in all formats. They are designed as an assessment and planning tool and therefore do not cover how to manage particular records in detail. Public authorities are referred to Queensland State Archives’ range of other policies and guidelines for this information.

² The Recordkeeping Baseline Survey is conducted every two years. In line with the Recordkeeping Assessment Framework, Queensland State Archives may introduce new compliance measures in the future.
1.4 Authority

The State Archivist has issued the road map and maturity model in accordance with section 25(1)(f) of the Public Records Act 2002. This road map and associated maturity model forms part of a wider policy framework that aims to promote best practice recordkeeping and information management in Queensland public authorities.

1.5 Definitions

Records and information management-specific terms are defined in Queensland State Archives’ Glossary of Archival and Recordkeeping Terms available on Queensland State Archives’ website.³

2. About the recordkeeping maturity model

2.1 Introducing the maturity model
A maturity model is a structured collection of elements based on levels of achievement. It enables an organisation’s performance to be assessed against external benchmarks and provide a more detailed picture than a simple “yes / no” check. Maturity assessments guide future improvements and achievements.

The recordkeeping maturity model is a framework to assess current performance and set targets for improvement. It defines the characteristics of recordkeeping at different levels, allowing for staged progress.

The maturity assessment and road map process covers all recordkeeping processes in an organisation. It covers physical and electronic records, systems and programs, requiring public authorities to look holistically at their recordkeeping practices. However, a targeted assessment can be made of particular areas of an organisation if desired.

2.2 Benefits
Upon completion of a maturity assessment, an organisation will have an accurate and reliable summary of the current level of recordkeeping maturity. This will help a public authority to:

- raise the overall profile of records management as a strategic priority
- provide data to inform the development or review of a strategic approach to recordkeeping
- provide evidence to help inform risk management decisions
- provide data for internal audit and quality assessment purposes
- identify areas of good practice which can act as exemplars to encourage further development
- identify gaps and weaknesses and thus where best to target resources and focus efforts
- assess the impact of previous and/or current investment in this area
- provide evidence of its ability to comply with the Public Records Act 2002, and
- measure progress in this area over time through repeated maturity assessments at set intervals.

2.3 Levels of maturity
Within the maturity model, statements or indicators summarise the characteristics of recordkeeping at each level of maturity. In general, indicators at higher levels build on and incorporate the requirements of the lower levels.
The five levels are:

1 – **Ad hoc**: Organisation has no systematic or formal approaches to recordkeeping. Processes and practices are fragmented or non-existent. Any pockets of maturity that the organisation has are based on the experience and initiatives of individuals.

2 – **Repeatable**: Organisation has limited enterprise-wide recordkeeping processes. Basic management controls and disciplines are in place; however policies and practices and are not applied consistently.

3 – **Defined**: Organisation has a significant degree of recordkeeping maturity. Enterprise awareness, policies, procedures, and processes exist and are used consistently across the organisation.

4 – **Managed**: Organisation manages records and recordkeeping processes consistently and comprehensively across the organisation. Processes and practices are routinely measured to ensure delivery of desired results.

5 – **Optimised**: Organisation considers records and recordkeeping to be an asset that underpins all business processes. Recordkeeping processes and practices are regularly measured and monitored and the results are analysed and used for continuous improvement.

2.4 **Structure of the maturity model**

The model is a matrix arranged according to five levels of maturity and the principles of *Information Standard 40: Recordkeeping* (IS40) and *Information Standard 31: Retention and Disposal of Public Records* (IS31), with each principle divided into different key areas. The structure of the model is shown in Figure 1.

<table>
<thead>
<tr>
<th>Principle</th>
<th>1 – Ad hoc</th>
<th>2 – Repeatable</th>
<th>3 – Defined</th>
<th>4 – Managed</th>
<th>5 – Optimised</th>
</tr>
</thead>
<tbody>
<tr>
<td>Key area</td>
<td>Indicators</td>
<td>Indicators</td>
<td>Indicators</td>
<td>Indicators</td>
<td>Indicators</td>
</tr>
<tr>
<td>Key area</td>
<td>Indicators</td>
<td>Indicators</td>
<td>Indicators</td>
<td>Indicators</td>
<td>Indicators</td>
</tr>
</tbody>
</table>

*Figure 1: Structure of maturity model*

The key areas are drawn from each principle in the recordkeeping Information Standards as detailed in Table 1. Some of the key areas may not be applicable for all public authorities. For example, the key area on agency-specific Retention and Disposal Schedules will not apply to those organisations covered by sector-specific schedules; or legacy records will not apply to new organisations that have not inherited any records from predecessor agencies.

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4 While the level definitions are similar to those used in Standards Australia (2009) *HB278-2009 Recordkeeping Compliance*, terms and definitions have been adapted to align with the Queensland Government Information Management Maturity Model, where possible.
<table>
<thead>
<tr>
<th>Principle</th>
<th>Key Areas</th>
</tr>
</thead>
</table>
| **Principle 1: Public authority recordkeeping must be compliant and accountable** | ➢ Understanding of business, administrative and legal environment  
➢ Identification of requirements to create records  
➢ Strategic approach to recordkeeping |
| **Principle 2: Recordkeeping must be monitored and audited for compliance** | ➢ Assessing recordkeeping compliance  
➢ Acting on findings  
➢ Monitoring and reporting on recordkeeping performance |
| **Principle 3: Recordkeeping activity must be assigned and implemented** | ➢ Assigning responsibilities  
➢ Communicating roles and responsibilities |
| **Principle 4: Recordkeeping must be managed** | ➢ Defining recordkeeping program  
➢ Assigning management responsibility  
➢ Skilled staff  
➢ Project management |
| **Principle 5: Recordkeeping systems must be reliable and secure** | ➢ Recordkeeping systems  
➢ Security and access  
➢ Safe storage  
➢ Disaster preparedness  
➢ Vital records  
➢ Migration / preservation strategies |
| **Principle 6: Recordkeeping must be systematic and comprehensive** | ➢ Records are created and stored systematically  
➢ Document complete range of business  
➢ Outsourced business  
➢ Legacy records |
| **Principle 7: Full and accurate records must be made and kept for as long as required for business, legislative, accountability and cultural purposes** | ➢ Classification of records  
➢ Metadata  
➢ Email  
➢ Online / Web records  
➢ Business Systems |

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### Information Standard 31: Retention and Disposal of Public Records

| Principle 1: Public authorities must ensure public records are retained for as long as they are required | ➢ Agency-specific Retention and Disposal Schedules  
➢ General and sector-specific Retention and Disposal Schedules  
➢ Retaining and disposing of records |
<table>
<thead>
<tr>
<th>Principle</th>
<th>Key Areas</th>
</tr>
</thead>
</table>
| Principle 2: The disposal of public records must be authorised by the State Archivist | ➢ Sentencing  
➢ Endorsing disposal  
➢ Transfer of permanent records to Queensland State Archives  
➢ Destruction  
➢ Documenting disposal |

Table 1: Maturity model key areas

See section 3 for more information on the relationship of the maturity model with IS40 and IS31 and other elements of the Recordkeeping Policy Framework.

The maturity model is presented in a spreadsheet which includes functionality to score results of the assessment and generate graphs. The maturity model is also available as a simple table (in Appendix A of this document) which may be more useful to gain an overview of the model and understand its elements.

The contents of the model are the same regardless of format. The separate formats are to allow for different uses. There is no obligation for users to look at both formats if they find one or the other meets their needs.

2.5 Application in different organisations

The Public Records Act 2002 covers a large number of public authorities with great variation in their size and type of business. The maturity assessment process is designed to be flexible and encourages agencies to consider their own circumstances, for example their size and available resources, when setting priorities for improvement.

The methodology included in this road map can be scaled depending on the size of the organisation, the resources available and the purpose of the assessment. In particular, the amount of research needed to underpin an assessment is greatly reduced in smaller organisations, or those with a limited range of functions.
3. Relationship to the Recordkeeping Policy Framework

3.1 Background
In accordance with responsibility under the Public Records Act 2002 to issue standards and guidelines for recordkeeping, Queensland State Archives administers a comprehensive Recordkeeping Policy Framework, which provides advice on the management of public records in all formats. This Recordkeeping Maturity Model helps public authorities assess their conformity with the Recordkeeping Policy Framework.

As such, indicators in the maturity model are derived from the advice and guidance provided by components of the framework.

3.2 Recordkeeping Information Standards
Public authorities will be familiar with the principles and requirements of the recordkeeping information standards, Information Standard 40: Recordkeeping (IS40) and Information Standard 31: Retention and Disposal of Public Records (IS31). While the principles provide broad coverage of all areas of recordkeeping, the compliance requirements in these standards identify a smaller set of minimum mandatory practices and processes that all public authorities must implement.

The requirements in IS40 and IS31 continue to be the minimum mandatory requirements for recordkeeping.

The minimum mandatory compliance requirements of the recordkeeping Information Standards are incorporated into the maturity model at Level 3: Defined, with specific requirements marked with an asterisk (*). Levels 4 and 5 of the maturity model provide public authorities with a more detailed picture to help them move beyond these minimum mandatory requirements where relevant for their organisation.

3.3 Strategic and Operational Recordkeeping Plans
Under Principle 1 of Information Standard 40: Recordkeeping, public authorities are required to implement a strategic approach to recordkeeping. Many public authorities maintain a Strategic Recordkeeping Implementation Plan (SRIP) for this purpose. Undertaking a maturity assessment is not a prerequisite for developing or reviewing a recordkeeping strategic plan. However, the assessment process provides a methodology to assess the performance of your organisation and to inform priorities for action which can then form the target areas of any strategic plan and drive identification of actions and projects for inclusion in operational recordkeeping plans.

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3.4 Recordkeeping Baseline

As noted in section 1.1 above, the Road Map and Maturity Model are self-assessment and improvement tools. The Recordkeeping Baseline Survey, conducted every two years, continues to be the primary tool Queensland State Archives will use to collect information on compliance with the recordkeeping Information Standards.

The Baseline Survey collects information on key requirements under the recordkeeping Information Standards. Unlike the Recordkeeping Maturity Model, it does not provide a comprehensive assessment of an organisation’s recordkeeping performance.
4. Assessment methodology

This section outlines a suggested methodology for undertaking an assessment against the maturity model. It involves five phases. These are:

- Stage 1: Plan
- Stage 2: Data collection
- Stage 3: Analysis
- Stage 4: Set targets and build support
- Stage 5: Improve and review.

More information is provided below on appropriate activities within each stage. Appendix B contains an overview of these in checklist form. This is a suggested approach and public authorities are encouraged to tailor it for their own needs. Appendix C contains a streamlined and less formal approach which may be appropriate either for smaller public authorities, or where a quick, indicative status check is desired rather than a full assessment.

4.1 Stage 1: Plan

This stage covers establishing the assessment as a defined project. While it is possible to conduct an assessment without establishing it as a project, the absence of approvals and formal endorsement of the planned work may make it more difficult to gain support for recommendations arising from the assessment.

Decisions about project governance must consider the requirements of your organisation. At a minimum, define the scope and purpose of the assessment.

Determine project scope

Generally, the purpose of undertaking a maturity assessment is to determine the levels of recordkeeping maturity across the organisation and to prioritise areas for improvement. The specific reason for undertaking an assessment will vary from organisation to organisation, for example:

- a new public authority has been formed through amalgamations, and wants to do a recordkeeping ‘stocktake’ of the component parts to prioritise areas for attention
- new recordkeeping initiatives and processes have been implemented and an assessment will be useful to plan the next improvement cycle, for example to inform the development of a new or revised strategic plan, or

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as a regular, scheduled assessment to monitor and plan for improvements over time. Depending on the purpose, the assessment may cover the entire organisation, or selected units or sections. For large and/or complex organisations, a rolling sequence of assessments of different areas could be planned.

Decisions made about the scope and purpose of the assessment will inform what resources are required and appropriate project governance.

**Develop project plan and timelines**

Plan for the assessment to ensure that the time and resources are available to undertake it and ensure that any recommendations arising from the assessment are considered.

The length of time required to conduct an assessment depends on factors such as the purpose and scope of the project and the size of the organisation. Allow sufficient time for consulting with stakeholders, including an iterative process of analysing results and gathering additional data.

Depending on the scope of the assessment and project management processes required in your public authority, consider identifying or appointing:

- a project sponsor to assume overall responsibility for the project, act as a champion and facilitate access to necessary resources
- a project manager responsible for day-to-day coordination and implementation of the project.

Larger projects may also need a project board or steering committee to serve as a review body and ensure the views of all areas to be affected by the project are represented.

**Identify project team**

The size and nature of the public authority and the proposed scope of assessment determines what skills are needed to undertake the assessment. At a minimum the project requires access to the following skills or knowledge:

- project management
- recordkeeping
- information technology, and
- corporate governance.

Depending on the scope of the project, not all these skills may need to be represented on the project team. Smaller projects could be undertaken by one person, calling on the expertise of colleagues when necessary.

Given the breadth of areas outlined in the model, it is unlikely that one person has all the necessary information to complete the assessment. The assessor will need to seek additional information from a range of sources and colleagues to ensure that accurate results are obtained. The final assessment should be completed by the same person, or a small team of people, to ensure consistency of approach and understanding across all sections.

**Commence stakeholder engagement**

Stakeholder support is essential to the success of an assessment project. In particular, such support is vital for:

- access to resources to undertake the assessment
• obtaining accurate data to inform the assessment, and
• ensuring recommended changes are supported and implemented.

As part of planning the project, identify stakeholders and identify what messages will be relevant for each stakeholder or stakeholder group at each stage of the project, and how to communicate effectively with them during the engagement stage.

4.2 Stage 2: Data collection

This stage covers the collection of evidence to underpin the assessment of maturity. You will need documentary evidence and input from stakeholders, as indicators in the maturity model relate to both the existence of recordkeeping strategies and tools and stakeholder implementation and awareness of them.

This stage will overlap with the next stage of analysis. Sometimes conflicting and contradictory evidence is gathered. Commencing the analysis stage while data collection is underway allows for an iterative approach where issues that arise are tested and examined in future consultation.

Background knowledge

Ensure that staff conducting the assessment are familiar with the maturity model. The maturity model also requires some knowledge of Information Standard 40 and Information Standard 31. While desirable, knowledge of Queensland State Archives’ other policies and guidance is not required to undertake the assessment, except as footnoted in the model.

Gather documentary evidence

Before engaging with stakeholders, assemble relevant documentary information. Many indicators throughout the maturity model, in particular the requirements for Level 2: Repeatable and Level 3: Defined, refer to specific documentation such as approved policies and procedures. Therefore collecting and locating such documentary information is an important step in commencing the assessment.

Use the Evidence Guide (Appendix D) to assist with this process. Types of documents that are useful include:

• recordkeeping strategies, policies and plans
• recordkeeping procedures
• documentation from any recent reviews of information management or recordkeeping, such as the QSA IS40 Compliance Checklist or Recordkeeping Baseline Survey, and
• recordkeeping tools, such as Retention and Disposal Schedules and business classification schemes.

Information that is received during consultation may also require verification by checking against documentary sources. For example, where stakeholders report they have
procedures or business rules in place for capturing records from a specific business process, check that the procedures are adequate, current and known by staff. If stakeholders state there is a Vital Records Plan in place, check that it is current and comprehensive.

**Prepare for interviews and focus groups**

To complete the assessment, seek the input of stakeholders from across the organisation through interviews, workshops and surveys. Ensure a wide range of perspectives are obtained.

Appendix E contains a guide to conducting interviews. It is essential that interviews or focus groups are targeted to the participants. Appendix F is an example email that can be adapted and used to invite stakeholders to participate in an interview.

Appropriately targeting questions requires familiarity with the maturity model so you can ensure that:

- participants are asked the right questions, and
- all the relevant questions are asked.

As part of preparing for interviews or focus groups, identify which key areas participants can provide information on. Develop questions based on the related indicators from the model. You will also need to include questions that focus on gaps, risks and the desired state as the assessment includes identifying both the ‘as-is’ and ‘to-be’ environment.

Surveys are a useful tool to collect ‘as-is’ information from a wide range of participants, including to gauge general staff awareness of recordkeeping requirements such as what records to capture, their access to appropriate training and knowledge of relevant policies, procedures and practices. Surveys can be less useful than face-to-face consultation for identifying ‘to-be’ requirements.

When conducting a survey, include demographic information such as the respondent’s work unit or length of time in the organisation to assist in analysing the results. An example of working through these issues can be seen in Figure 2 below.

Information gathered through focus groups and interviews may require further verification, for example checking that a policy or procedure referred to exists. Scrutiny of specific processes and practices may also be necessary to ascertain performance.
Example: Preparing for consultation

You are holding a meeting with staff responsible for managing the organisation’s web site. Prior to the meeting you review the website to gain an understanding of what type of site it is: for example whether it provides static information or whether transactions can be undertaken through it. Based on this knowledge, and your knowledge of the maturity model, your questions focus on:

- whether there has been an assessment of recordkeeping requirements relating to the use of online channels
- what strategies have been implemented to ensure records are made and kept
- whether these strategies are incorporated into workflows
- whether recordkeeping requirements are considered when planning new online services
- what problems or issues a lack of records may have created, and
- what improvements they would like to see.

These questions relate to the indicators in the online / web records area of the maturity model under principle 7.

Staff are also bound by the general recordkeeping policies and requirements of their organisation. The table below highlights other potentially relevant questions, drawn from indicators in the maturity model.

<table>
<thead>
<tr>
<th>Question</th>
<th>Maturity model principle &amp; key area</th>
</tr>
</thead>
<tbody>
<tr>
<td>Are you aware of requirements to make and keep records?</td>
<td>Principle 6: Records document complete range of business</td>
</tr>
<tr>
<td>Are you confident in your knowledge of what records need to be created?</td>
<td>Principle 6: Records document complete range of business</td>
</tr>
<tr>
<td>What gaps exist?</td>
<td>Principle 3: Communicating roles and responsibilities</td>
</tr>
<tr>
<td>What information or training have you received on your recordkeeping</td>
<td>Principle 4: Defining recordkeeping program</td>
</tr>
<tr>
<td>responsibilities? What would you like to see improved?</td>
<td>Principle 5: Safe storage</td>
</tr>
<tr>
<td>Are you aware of any corporate recordkeeping policies and procedures?</td>
<td>Principle 5: Recordkeeping systems</td>
</tr>
<tr>
<td>What systems (paper and electronic) do you use to manage your records?</td>
<td>Principle 6: Records are created, stored and maintained systematically</td>
</tr>
<tr>
<td>Have you encountered any problems or weaknesses with these?</td>
<td></td>
</tr>
<tr>
<td>Do you have any outsourcing arrangements? If so, do the contracts</td>
<td>Principle 6: Outsourced business</td>
</tr>
<tr>
<td>contain recordkeeping provisions?</td>
<td></td>
</tr>
</tbody>
</table>

During the consultation process, encourage participants to identify what they see as priorities for improvement.

Figure 2: Preparing for consultation example
4.3 Stage 3: Analysis

During this stage, data gathered in stage 2 is analysed to determine the as-is recordkeeping maturity of the organisation, to provide a platform from which to plan improvements.

Consolidating findings

Determine the different ‘views’ of the data that will be useful, as this will inform how you analyse the information. This will depend in part of the initial scope and purpose of the assessment, and consideration of how improvements may be planned and implemented. For example, you may wish to track findings by principle, by organisational area, or by other factors.

While identification of maturity levels gives an overview of recordkeeping performance, allocating a rating or level should be secondary to identifying findings, conclusions and improvement opportunities. Use a findings summary sheet, such as in Figure 3 below, to document strengths and weakness in each area, to justify the identified level and to identify areas for improvement.

<table>
<thead>
<tr>
<th>Principle X:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Findings and issues</td>
</tr>
<tr>
<td>•</td>
</tr>
<tr>
<td>•</td>
</tr>
<tr>
<td>•</td>
</tr>
<tr>
<td>Opportunities</td>
</tr>
<tr>
<td>•</td>
</tr>
<tr>
<td>•</td>
</tr>
<tr>
<td>•</td>
</tr>
<tr>
<td>Evidenced:</td>
</tr>
<tr>
<td>•</td>
</tr>
<tr>
<td>•</td>
</tr>
<tr>
<td>•</td>
</tr>
<tr>
<td>•</td>
</tr>
<tr>
<td>Current level:</td>
</tr>
</tbody>
</table>
While the focus is on identifying overall patterns and trends, note where different parts of the organisation operate differently. This may identify good practices worth sharing or target areas for improvement.

Assess as-is maturity levels

A particular maturity level is only reached if all the requirements for that level are met. In general, indicators at a higher level include requirements for the lower.

Levels are initially identified for each key area within each principle. The spreadsheet format of the maturity model can be used for this. It also includes a page for comments to note any supporting evidence for the level selected. If analysis by section or unit is required, a different spreadsheet can be completed for different areas of the organisation.

If desired, an overall level can also be identified for each principle. However, as all requirements (across all key indicators) must be met to claim a particular level, when identifying a single level for a principle (or across all the principles) the lowest applicable level should be selected. Otherwise an overly-positive view of recordkeeping within the organisation may be obtained and mask the need for improvements.

For this reason, it may also be useful to represent the range of performance within each principle, as shown below.

<table>
<thead>
<tr>
<th>Level</th>
<th>1</th>
<th>2</th>
<th>3</th>
<th>4</th>
<th>5</th>
</tr>
</thead>
<tbody>
<tr>
<td>IS40 Principle 1</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>IS40 Principle 2</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>IS40 Principle 3</td>
<td></td>
<td></td>
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<td></td>
</tr>
<tr>
<td>IS40 Principle 4</td>
<td></td>
<td></td>
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<td></td>
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<tr>
<td>IS40 Principle 5</td>
<td></td>
<td></td>
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<td></td>
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<tr>
<td>IS40 Principle 6</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>IS40 Principle 7</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>IS31 Principle 1</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>IS31 Principle 2</td>
<td></td>
<td></td>
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</tr>
</tbody>
</table>

Figure 4: Example showing current state

Managing conflicting findings

During data collection and analysis, contradictory information may be noted. Analysing the reasons for such apparent contradiction may provide insight into recordkeeping strengths and weaknesses to inform the maturity assessment. Factors to consider include:
perspective of those responsible for oversight or development versus those responsible for use or implementation

variation across different work units or sites / locations, and

different perspectives based on individual priorities, experience in the organisation or exposure to records and information management issues.

Additional information may be required to resolve or understand such contradictions. Obtain this by:

• further background research
• interviewing new stakeholders
• revisiting stakeholders where necessary to validate findings or resolve inconsistencies, and/or
• sighting further evidence of performance, where necessary.

4.4 Stage 4: Set targets and build support

The consultation process will have gathered extensive information on the organisation’s current recordkeeping performance. Identification of the current level of recordkeeping maturity only has value if it is used as a starting point for improvement; however setting realistic targets is more complex. It is also necessary to obtain stakeholder support to ensure the targets can be achieved.

Set targets for improvement

In general, achievement of Level 3: Defined is required across all principles and key areas (and in all parts of the organisation) for compliance with the minimum requirements of Information Standard 40: Recordkeeping and Information Standard 31: Retention and Disposal of Public Records.

An initial priority may be to achieve consistency for all key areas within each principle, across the organisation. Alternatively, an organisation may determine that some parts of its business, due to complexity, risk exposure or other factors, need to perform recordkeeping at a higher level of maturity for greater efficiency and effectiveness. Be realistic when setting targets: level 5 may not be necessary or achievable for all organisations, or all parts of an organisation.

When identifying a target level for each principle and key area consider the issues in Table 2 below.
### Issue | Explanation
--- | ---
**Risk exposure** | Some organisations, and parts of organisations, conduct business which is high risk for many reasons – e.g. amounts of money involved, impact on individuals or the community as a whole, likelihood that decisions and processes will be exposed to scrutiny. These areas may need higher levels of recordkeeping maturity to ensure business decisions are appropriately documented. Conversely, a baseline level of maturity (level 3: Defined) may be appropriate for lower risk functions or organisations.

**Complexity of the work** | Organisations, or parts of organisations, that handle complex work may need additional rigour to ensure decisions and the process of arriving at them are documented properly and managed effectively for future reference and accountability.

**Size of the organisation** | Smaller organisations may find that less sophisticated systems and processes are sufficient to support effective records management. Alternatively, it may be possible to achieve higher levels of maturity in one or two key areas.

| Table 2: Issues to consider when setting targets |

A graphical representation comparing the ‘as-is’ and ‘to-be’ state (based on targets) is useful, as shown in Figure 5.

<table>
<thead>
<tr>
<th>Level</th>
<th>1</th>
<th>2</th>
<th>3</th>
<th>4</th>
<th>5</th>
</tr>
</thead>
<tbody>
<tr>
<td>IS40 Principle 1</td>
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<tr>
<td>IS40 Principle 2</td>
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<tr>
<td>IS40 Principle 3</td>
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<tr>
<td>IS40 Principle 4</td>
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<tr>
<td>IS40 Principle 5</td>
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<tr>
<td>IS40 Principle 6</td>
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<tr>
<td>IS40 Principle 7</td>
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<tr>
<td>IS31 Principle 1</td>
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<td></td>
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<tr>
<td>IS31 Principle 2</td>
<td></td>
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</tr>
</tbody>
</table>

Figure 5: Example illustrating target levels

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Identify priorities for action

Once the desired ‘to-be’ state has been identified, select strategies that will assist the organisation to achieve the goal. In most cases the relevant indicators in the model will point directly to the actions needed to achieve the desired level. The Evidence Guide (Appendix D) shows how certain key documents can support a number of principles and key areas. Queensland State Archives range of policies and guidelines also provide advice on recordkeeping in specific circumstances.

Making improvements across all areas at the same time may not be achievable or expected. The primary aim is overall improvement, over time, in a planned and managed way. Some targets may be more easily reached than others and the achievements of some targets may have greater urgency based on business needs or the perception of risk to the public authority. The factors highlighted above under ‘setting targets for improvement’ also inform this process. Setting priorities involves:

- identifying what areas of recordkeeping will be focused on, and/or
- in what areas of the business improvements are most needed.

To be most effective, recordkeeping should not be a ‘one size fits all’ approach.

Decision making tools and techniques such as an effort / impact analysis (Figure 6) help prioritise areas for improvement. Those of low effort and high impact may be prioritised to gain some initial success. Those of high effort, but high impact, will need management support to implement. For example, from the Evidence Guide it can be seen that certain key documents support a number of principles and key areas, so an organisation with improvements to be made in these principles may prioritise the development of these documents.

Analyse the dependencies and relationships between initiatives to develop a realistic and appropriately sequenced program of improvement.

Impact / Effort matrix

An impact / effort matrix is a tool used to prioritise projects and chose from many options. The effort required and the potential impact of each option is analysed and mapped onto a grid as shown in the diagram below.

- Quadrant 4 projects are often described as ‘quick wins’ or ‘low hanging fruit’. These are often first priority if it is desirable to have visible and easy high-value improvements.
- Quadrant 3 projects require more effort, and are typically major projects requiring planning, scheduling and resources. Make sure that the effort involved is proportionate to the impact.
- Quadrant 2 projects are sometimes described as ‘thankless tasks’ or ‘hard slogs’. Before undertaking such work, ensure that there is a genuine business need to undertake the work and consider whether there are other means to achieve the necessary outcome. There is a risk that undertaking tasks in this quadrant will occupy time that can be better spent on other tasks.
- Quadrant 1 low impact / low effort works may be prioritised if they solve minor but ongoing issues. However, similar to quadrant 2, ensure that quadrant 1 tasks do not ‘crowd out’ initiatives with the potential for greater impacts. For this reason, tasks falling into this quadrant are sometimes characterised as ‘fill-ins’. 
Test the findings

Before finalising any formal report or deliverable, test the findings with key stakeholders. This increases the likelihood that findings will be endorsed and recommendations adopted. This usually involves a presentation to the steering committee and/or management group. To do this:

- give a brief overview of the project
- describe strengths and weaknesses, and
- highlight proposed improvement strategies and seek comments and suggestions.

Flexibility and openness to other viewpoints at this stage of the project is vital for ensuring a successful outcome.

Develop a report for endorsement

Developing a report ensures that the process and the results of the assessment are documented, and provides a tool for recommending improvements. The report reflects the decisions made by senior stakeholders when the initial findings were tested and refined.

A suggested structure for the report is:

1. Executive Summary
   - Summary of findings and current level
   - Key themes
   - Recommendations
2. Project objectives, scope and process overview
3. Findings - summary of current levels, assessment findings and opportunities (by principle and key area)
4. Prioritised recommendations
5. Action plan
Appendices
   A. Documentation sources
   B. List of stakeholders interviewed
   C. Summary of conformity achieved (a table showing the assessment scores against key areas, indicators and the summary)
   D. Glossary

By the time the report is substantially compiled, there may be gaps or queries still to be addressed. Revisit stakeholders where necessary, and/or sight additional evidence of performance and incorporate this data into the report. Ensure that any feedback received as a result of testing the findings is reviewed and incorporated into the final report where appropriate.

Formal endorsement of the report provides the platform for progressing identified improvements. It also provides a record to inform future maturity assessments and to enable progress to be measured over time.

Communicating results to stakeholders
Once management has endorsed the report and agreed to the recommendations and the Action Plan, communicate this to stakeholders. This demonstrates a clear outcome and action arising from their participation in the process, and informs them of the next steps and what, if any, involvement is required of them for implementation.

4.5 Stage 5: Improve and review

This stage covers implementing the agreed improvement actions or projects. Apply standard project management processes to any initiative.\(^8\) Confirm or amend (as required) the Project Plan to address priority actions, and assign resources.

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To ensure the momentum for improvement is maintained, ensure there are appropriate oversight and governance arrangements. This may be through continuing the governance arrangements used for the assessment project, or by forming new ones. Consider the relationship between the governance structures for oversight of specified improvements and the normal reporting lines for recordkeeping (as indicated under Principles 1 and 2 in the maturity model).

Schedule a future maturity assessment, in order to measure improvements. For most organisations, a two to three year interval between assessments is appropriate, allowing sufficient time for improvement projects to be implemented and changes to take effect. Consider the timeframes for strategic planning processes when setting the review cycle. Routine monitoring against set performance indicators should occur between the assessment cycles, and will help inform the next maturity assessment process.
Appendix A: Maturity model

Information Standard 40: Recordkeeping

**Principle 1: Public authority recordkeeping must be compliant and accountable**

Public authorities must comply with public records legislation and other legal and administrative requirements for managing records within the areas in which they operate.

<table>
<thead>
<tr>
<th>Key area</th>
<th>1 – Ad hoc</th>
<th>2 – Repeatable</th>
<th>3 – Defined</th>
<th>4 – Managed</th>
<th>5 - Optimised</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Understanding of business, administrative &amp; legal environment</strong></td>
<td>Limited or no awareness of the legislation and standards that impact on recordkeeping.</td>
<td>Legislation that applies to the public authority's recordkeeping practices has been identified.</td>
<td>Strategic plan or recordkeeping policy identifies relevant legislation and organisational context*</td>
<td>Analysis of strengths, weaknesses, opportunities and threats presented by the business, legal and administrative environment for recordkeeping has been undertaken.</td>
<td>Analysis of the environment is updated and revised when changes to the environment occur.</td>
</tr>
<tr>
<td><strong>Identification of requirements to create records</strong></td>
<td>Some staff, or areas of the organisation, are generally aware that records need to be created</td>
<td>Documentation in some form, of functions and activities that require records to be made, or policy statements broadly outlining that records need to be created</td>
<td>Legislation has been analysed to identify requirements to create records*</td>
<td>Maps or flowchart showing the points at which records are produced or received during key or high risk business processes have been developed</td>
<td>New processes are analysed to identify requirements for records Legislative analysis / mapping is routinely updated and revised as the environment changes</td>
</tr>
<tr>
<td><strong>Strategic approach to recordkeeping</strong></td>
<td>Ad hoc plans only for parts of the public authority</td>
<td>Plans cover most of the public authority but: • have not been endorsed • are out of date, or • contain limited information on</td>
<td>Strategic planning covers the entire organisation and records in all formats and is endorsed by the Chief Executive*</td>
<td>Plans identify short and long-term priorities and goals for recordkeeping and recognise the different requirements (if applicable) of different functions or</td>
<td>Plans are based on detailed knowledge of public authority’s recordkeeping capabilities, are integrated with organisation’s planning</td>
</tr>
</tbody>
</table>
**Principle 2: Recordkeeping must be monitored and audited for compliance**

Recordkeeping systems, procedures and practices must be periodically monitored, evaluated and revised to ensure compliance with cultural, business, legislative and accountability requirements.

<table>
<thead>
<tr>
<th></th>
<th>1 – Ad hoc</th>
<th>2 – Repeatable</th>
<th>3 – Defined</th>
<th>4 – Managed</th>
<th>5 - Optimised</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Assessing recordkeeping compliance</strong></td>
<td>No audit or review of recordkeeping compliance is undertaken</td>
<td>Public authority responds to external monitoring activities (eg QSA surveys) Occasional reviews of some aspects of records management, or in some parts of the organisation, are undertaken</td>
<td>Regular evaluation and review of recordkeeping covers all areas of the public authority* Internal audits or reviews of business areas or activities include consideration of recordkeeping issues*</td>
<td>Key compliance requirements are tracked and improvements measured over time</td>
<td>Regular external auditing is performed against documented framework</td>
</tr>
<tr>
<td><strong>Acting on findings</strong></td>
<td>N/A</td>
<td>Limited follow-up of review findings</td>
<td>Results of the reviews are incorporated into recordkeeping plans to ensure corrective action is taken*</td>
<td>Senior management receives reports on findings and progress on implementation of corrective actions</td>
<td>Re-engineering of systems, procedures and practices occurs in response to findings Senior managers are</td>
</tr>
</tbody>
</table>

* Level 3: Defined is regarded as the minimum necessary for good practice recordkeeping in accordance with Queensland State Archives requirements. Specific minimum compliance requirement in accordance with *Information Standard 40: Recordkeeping or Information Standard 31: Retention and Disposal of Public Records* are marked with an asterisk (*). In general, performance at a higher level includes the requirements of the lower levels.
**Principle 3: Recordkeeping activity must be assigned and implemented**

Recordkeeping activities are essential business functions that must be assigned and implemented through responsible management by individuals and systems. Making and keeping public records is a responsibility of all those involved in the conduct of Government business, including contract staff.

<table>
<thead>
<tr>
<th>Assigning responsibilities</th>
<th>1 – Ad hoc</th>
<th>2 – Repeatable</th>
<th>3 – Defined</th>
<th>4 – Managed</th>
<th>5 - Optimised</th>
</tr>
</thead>
<tbody>
<tr>
<td>Recordkeeping responsibilities are not defined, or poorly defined</td>
<td>Policy or other statement defines recordkeeping responsibilities for all staff at a broad level and for specific</td>
<td>Responsibilities and authorities are documented, for example, in position descriptions, job specifications or role</td>
<td>Responsibilities are authorised by senior management and are regularly reviewed</td>
<td>Delegations reviewed</td>
<td>Performance agreements incorporate conformance with the organisation’s recordkeeping policy</td>
</tr>
</tbody>
</table>

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### Principle 4: Recordkeeping must be managed

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<table>
<thead>
<tr>
<th>Communicating roles and responsibilities</th>
<th>recordkeeping roles statements*</th>
<th>Delegations are formally defined* Qualified and/or experienced or skilled recordkeeping practitioners are appointed to relevant roles and updated as required</th>
</tr>
</thead>
<tbody>
<tr>
<td>There is no consistent communication of roles and responsibilities</td>
<td>All staff (including contract staff) have access to basic training / awareness on recordkeeping requirements (eg through induction)</td>
<td>All staff (including contract staff) receive training in relevant legislation and standards, policies, procedures and practices; and systems and tools Staff know how to access assistance for recordkeeping activities</td>
</tr>
</tbody>
</table>

Regular promotion of recordkeeping through defined channels Staff training is routinely evaluated and revised Staff training is tailored to their work context and available at different levels of expertise
Recordkeeping must be managed through an identifiable recordkeeping program that includes records in all formats; and be administered by appropriately skilled staff.

<table>
<thead>
<tr>
<th>Defining recordkeeping program</th>
<th>1 – Ad hoc</th>
<th>2 – Repeatable</th>
<th>3 – Defined</th>
<th>4 – Managed</th>
<th>5 - Optimised</th>
</tr>
</thead>
<tbody>
<tr>
<td>No current, approved policies, procedures or business rules exist for records management</td>
<td>No current, approved policies, procedures or business rules exist for records management</td>
<td>A high-level policy is approved that sets out the need to create and keep records and to manage them in accordance with the Public Records Act 2002</td>
<td>Recordkeeping policy is endorsed by senior management and cross-references related organisational policies, for example information security*</td>
<td>A range of approved policies, procedures and business rules exist which are specific to different formats and/or organisational environment as required, including: • hardcopy records • emails • standard electronic documents • website pages and transactions • records generated by core business systems, and • different divisions or offices. Regular reviews of policies, procedures and business rules are undertaken. Procedures and business rules include requirements for quality checking</td>
<td>Records management requirements are integrated in procedures and business rules for specific business activities (eg complaints management procedures include recordkeeping requirements)</td>
</tr>
<tr>
<td>Policy covers records in all formats</td>
<td>Policy covers records in all formats</td>
<td>Procedures and/or business rules are in place for both records creators and records managers, for example: • procedures for staff on appropriate creation and capture, or • procedures for records staff on sentencing and disposal*</td>
<td>Procedures and business rules apply to records in all formats*</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Assigning management responsibility</th>
<th>1 – Ad hoc</th>
<th>2 – Repeatable</th>
<th>3 – Defined</th>
<th>4 – Managed</th>
<th>5 - Optimised</th>
</tr>
</thead>
<tbody>
<tr>
<td>No single position has been identified as having oversight of recordkeeping</td>
<td>Responsibility for coordinated oversight of recordkeeping has</td>
<td>Senior management sponsor / champion for recordkeeping</td>
<td>Management of recordkeeping is aligned to broader</td>
<td>All senior and middle managers are aware of their responsibility</td>
<td></td>
</tr>
</tbody>
</table>

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### Skilled staff

<table>
<thead>
<tr>
<th>Level 3: Defined</th>
<th>Staff</th>
<th>Information management governance</th>
<th>to ensure their staff comply with the public authority’s records management policies and procedures and actively promote these requirements</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>recordkeeping across the organisation</strong></td>
<td>Senior management has little understanding of, or commitment to, records management</td>
<td>been assigned to one position</td>
<td>has been identified*</td>
</tr>
</tbody>
</table>

### Project management

<table>
<thead>
<tr>
<th>Level 3: Defined</th>
<th>Staff</th>
<th>Information management governance</th>
<th>to ensure their staff comply with the public authority’s records management policies and procedures and actively promote these requirements</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>recordkeeping across the organisation</strong></td>
<td>Senior management has little understanding of, or commitment to, records management</td>
<td>been assigned to one position</td>
<td>has been identified*</td>
</tr>
</tbody>
</table>

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**Principle 5: Recordkeeping systems must be reliable and secure**

All systems that are used to create and maintain records must work reliably and be secure to ensure that records are credible and authoritative regardless of format.

<table>
<thead>
<tr>
<th>1 – Ad hoc</th>
<th>2 – Repeatable</th>
<th>3 – Defined</th>
<th>4 – Managed</th>
<th>5 - Optimised</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Recordkeeping systems</strong></td>
<td>Multiple local systems with contents and whereabouts unknown to all but immediate users</td>
<td>Systems for the management of records are implemented in parts of the organisation only, are poorly managed or do not have necessary recordkeeping functionality</td>
<td>All systems (physical and electronic) that create and manage records are identified*</td>
<td>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)</td>
</tr>
<tr>
<td><strong>Security &amp; access</strong></td>
<td>No consistent control of access to records, with many staff able to access confidential and/or sensitive records</td>
<td>Policies or business rules governing system security and user access permissions are in place</td>
<td>Systems for the management of physical and electronic records routinely incorporate user access permissions*</td>
<td>Restrictions and rules are regularly reviewed to ensure they are appropriate</td>
</tr>
<tr>
<td><strong>Safe storage</strong></td>
<td>Records storage is primarily ad hoc and unmanaged. There</td>
<td>Designated storage areas exist but are not used for all records,</td>
<td>Policies and processes exist to prevent the deliberate destruction of records</td>
<td>Regular audits of physical records occur</td>
</tr>
</tbody>
</table>

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<table>
<thead>
<tr>
<th>Disaster preparedness</th>
<th>No disaster preparedness planning is undertaken</th>
<th>Disaster recovery plans are out of date, or do not cover all of the public authority</th>
<th>Disaster recovery plan/s are current</th>
<th>Disaster recovery plans are regularly reviewed</th>
<th>Disaster recovery plans are regularly tested and updated in response to test results</th>
</tr>
</thead>
<tbody>
<tr>
<td>Vital records</td>
<td>No measures are in place to identify vital records</td>
<td>Vital records have been identified</td>
<td>A vital records plan has been prepared and/or vital records protection is incorporated in the disaster preparedness plan</td>
<td>Preventative measures have been implemented to protect vital records</td>
<td>Identification of vital records and appropriateness of preventative measures are regularly reviewed and updated</td>
</tr>
<tr>
<td>Migration / preservation strategies</td>
<td>No measures are in place to ensure the ongoing accessibility of electronic records</td>
<td>Electronic records are migrated on an ad hoc, as needed basis</td>
<td>Policy or strategy commits the organisation to migrating or otherwise preserving electronic</td>
<td>Standard processes are implemented for the migration of electronic records during system</td>
<td>Consideration of lifecycle needs, including future migration requirements, are scheduled and undertaken</td>
</tr>
</tbody>
</table>

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Principle 6: Recordkeeping must be systematic and comprehensive

The creation, storage and maintenance of records must be implemented systematically and comprehensively. All systems (both manual and electronic), that create and maintain records must be supported by accurately documented recordkeeping policies and assigned responsibilities.

<table>
<thead>
<tr>
<th>1 – Ad hoc</th>
<th>2 – Repeatable</th>
<th>3 – Defined</th>
<th>4 – Managed</th>
<th>5 - Optimised</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Records are created, stored and maintained systematically</strong></td>
<td>Identification and capture of records is sporadic and, in the absence of corporate systems, is down to the judgement and best effort of individuals</td>
<td>Some parts of the organisation have access to systems for the creation and capture of records</td>
<td>All areas of the organisation have the appropriate level of access to systems for keeping records*</td>
<td>Standard operating procedures and mechanisms exist for all systems that keep records including: • reporting of system failures • specific actions to be taken when a system fails, and • major changes to systems are comprehensively documented</td>
</tr>
<tr>
<td><strong>Records document complete range of business</strong></td>
<td>The identification and capture of records is sporadic, and records do not document all the business of the organisation</td>
<td>Policies require staff to create and capture records but are inconsistently implemented or followed</td>
<td>Staff create records of the business that they undertake and capture them into systems in accordance with policy*</td>
<td>Audits show that all parts of the public authority are creating and capturing records into appropriate systems</td>
</tr>
</tbody>
</table>

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* Level 3: Defined is regarded as the minimum necessary for good practice recordkeeping in accordance with Queensland State Archives requirements. Specific minimum compliance requirement in accordance with *Information Standard 40: Recordkeeping* or *Information Standard 31: Retention and Disposal of Public Records* are marked with an asterisk (*). In general, performance at a higher level includes the requirements of the lower levels.

<table>
<thead>
<tr>
<th>Outsourced business</th>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>NOTE: This key area may not be applicable for all organisations</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
| There is little or no consideration of recordkeeping requirements when outsourcing business activities | Agreements with outsourcing providers identify some recordkeeping issues | Where agency information is managed or used by external parties, the contract:  
• recognises the legal ownership of records held by the external party  
• enables the agency to have full and timely access to relevant records held  
• requires the external party to comply with relevant legislation and standards for as long as they hold the records, and  
• provides for safe custody and return of records at the conclusion of the agreement | Standard templates and clauses exist to ensure that recordkeeping requirements are included in all relevant outsourcing contracts | The external party’s performance against recordkeeping requirements is included in agreements and monitored  
Corrective action is taken as appropriate |
| Public records are passed freely and without restraint or control to outsourcing partners |  |  |  |
### Legacy records

**NOTE:** This key area may not be applicable for all organisations

<table>
<thead>
<tr>
<th>Level</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Ad hoc</td>
</tr>
<tr>
<td>2</td>
<td>Repeatable</td>
</tr>
<tr>
<td>3</td>
<td>Defined</td>
</tr>
<tr>
<td>4</td>
<td>Managed</td>
</tr>
<tr>
<td>5</td>
<td>Optimised</td>
</tr>
</tbody>
</table>

| | Partial or out-of-date classification schemes exist, but are not consistently implemented | One or more documented business classification schemes exist which cover most of the functions of the organisation | Functions and activities are documented in one or more current business classification schemes that covers all the functions of the organisation* | Business classification schemes are routinely reviewed for relevance and comprehensiveness | Functional classification is linked to sentencing and other recordkeeping processes (e.g., security and access) |

---

### Principle 7: Full and accurate records must be made and kept for as long as they are required for business, legislative, accountability and cultural purposes

Full and accurate records are a combination of processes (such as the creation and capture of records) and essential attributes of records (such as being meaningful, inviolate and complete) which combine to provide necessary accountability. They must be made and kept for as long as they are required for business, legislative, accountability and cultural purposes. Full and accurate records are:

- created
- adequate
- authentic
- captured
- complete
- inviolate
- retained
- meaningful
- accessible
- preserved
- accurate
- useable

Special consideration needs to be given to electronic and technology-dependent records to ensure they are managed as full and accurate records. This will support their evidential integrity, accessibility and useability for as long as they are required to be retained. Any amendment or augmentation of electronic records must be made without affecting the evidential integrity of the record. Disposal of records is covered in *Information Standard 31: Retention and Disposal of Public Records*.

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<table>
<thead>
<tr>
<th>Metadata</th>
<th>Metadata is captured for all records in some, but not all, recordkeeping systems</th>
<th>Minimum mandatory metadata (in accordance with the QRKMS(^9)) is captured for all records in all systems*</th>
<th>Assessments have been undertaken to determine which records systems should capture more than minimum mandatory metadata Quality checks of manually captured metadata are undertaken</th>
<th>Metadata is proactively used to drive business and records management processes (e.g., workflow, disposal)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Disposal</td>
<td>See IS31</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Email</td>
<td>The identification of emails that are public records is left to the judgement of individuals, with little central guidance</td>
<td>Policies, procedures or training are developed that identify that emails may be public records. Staff understand the criteria which makes an email a public record, and in what systems to capture emails. Emails that are public records are routinely captured into appropriate recordkeeping systems.</td>
<td>Review of recordkeeping systems demonstrates that emails are being routinely captured from all areas and by most staff of the public authority as appropriate(^10)</td>
<td>Email capture is monitored and email management strategies are revised to address areas of risk. Corrective action is taken as appropriate.</td>
</tr>
<tr>
<td>Online / Web records</td>
<td>No strategies are in place to ensure adequate records of online activity</td>
<td>An assessment of the public authority’s use of online channels has been undertaken. Strategies have been developed to ensure records of online activity are made and kept.</td>
<td>Recordkeeping is incorporated into workflows for all online activities.</td>
<td>Recordkeeping requirements are considered when planning new online activity.</td>
</tr>
</tbody>
</table>

---

The mandatory elements are specified in Appendix B of the Standard.

\(^10\) Recognising that some public service areas and/or staff may not transact business via email and therefore not generate public records.

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| Business systems | There is little awareness of the need to ensure records are made of activities conducted in business systems | An inventory of business systems exists | A gap analysis of the public authority’s need to keep records of its activities and the functionality of business systems has been undertaken | Results of the gap analysis are addressed and 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) | Recordkeeping requirements are considered in the design of all new systems |

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Information Standard 31: Retention and Disposal of Public Records

Principle 1: Public authorities must ensure public records are retained for as long as they are required

The chief executive of each public authority is accountable for the creation, management, appraisal and retention of its public records to ensure the accountability, legal, administrative, financial and research needs of the Government and the community are met. In consultation with Queensland State Archives, public authorities are responsible for assessing the value of the records they hold and setting appropriate retention periods for these records. Decisions on retention periods are documented in a Retention and Disposal Schedule.

<table>
<thead>
<tr>
<th>Agency-specific Retention and Disposal Schedules</th>
<th>General and sector-specific Retention &amp; Disposal Schedules</th>
<th>Retaining and disposing of records</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>1 – Ad hoc</strong></td>
<td>Organisation is unaware of General Retention and Disposal Schedule for Administrative records and applicable sector schedules</td>
<td>No disposal is undertaken</td>
</tr>
<tr>
<td><strong>2 – Repeatable</strong></td>
<td>Organisation has identified general and sector-specific schedules that apply to its records</td>
<td>Disposal is undertaken occasionally, for example, driven by office relocation or</td>
</tr>
<tr>
<td><strong>3 – Defined</strong></td>
<td>Organisation has identified gaps in coverage of relevant general and sector schedules</td>
<td>Disposal of records is planned and undertaken on a regular basis in accordance with QSA</td>
</tr>
<tr>
<td><strong>4 – Managed</strong></td>
<td>Recordkeeping systems are updated when a new version of the General Retention and Disposal Schedule for Administrative Records and/or relevant sector schedule is issued</td>
<td>Records requiring long term or permanent retention are identified and actively managed to</td>
</tr>
<tr>
<td><strong>5 - Optimised</strong></td>
<td>Changes to legislation, business functions and processes are monitored to drive revisions to the agency-specific Retention and Disposal Schedule</td>
<td>Disposal of physical and electronic records occurs routinely in accordance with approved Retention</td>
</tr>
</tbody>
</table>

NOTE: This key area is not applicable for agencies covered by sector-specific schedules

Agency-specific Retention and Disposal Schedules are outdated, incomplete and/or only cover some records of the public authority

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<table>
<thead>
<tr>
<th></th>
<th>1 – Ad hoc</th>
<th>2 – Repeatable</th>
<th>3 – Defined</th>
<th>4 – Managed</th>
<th>5 - Optimised</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Sentencing</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Sentencing occurs in an ad hoc manner</td>
<td>Staff are assigned responsibility for sentencing and use current authorised Retention and Disposal Schedules</td>
<td>An ongoing disposal program is in operation to confirm or review the sentencing of records*</td>
<td>Records subject to current or pending legal action, or a disposal freeze, or required for any other business purpose, are identified and not destroyed</td>
<td>Policies or procedures exist to guide staff in applying Retention and Disposal Schedules</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Endorsing disposal</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>No formal delegations exist for endorsing disposal</td>
<td>Responsibility for endorsing disposal action is assigned to an appropriate member of staff in accordance with formal delegations</td>
<td>Disposal is endorsed by the Chief Executive or authorised delegate*</td>
<td>All stakeholders in disposal are identified and consulted (eg relevant business</td>
<td>Procedures and workflows are developed to ensure that there is no further business need for records identified for destruction</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

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<table>
<thead>
<tr>
<th>Transfer of permanent records to QSA</th>
<th>Permanent physical records are not transferred to QSA</th>
<th>Permanent physical records are transferred to QSA on a limited and/or reactive basis, e.g. driven by an office relocation or storage issues</th>
<th>Permanent physical records are transferred to QSA when identified</th>
<th>Transfers of physical records to QSA occur as a planned and routine part of the sentencing and disposal program</th>
<th>Physical records of permanent value are identified and proactively managed to ensure suitability for transfer</th>
</tr>
</thead>
</table>
| Destruction method | Records are disposed of inappropriately, for example with normal office paper waste | All physical records are shredded or pulped, or burned (if local environmental regulations allow) | Physical records awaiting destruction are held in secure storage areas or secure bins*  
All records are destroyed beyond possible recovery or reconstruction*  
Procedures are developed for the deletion of records from all environments in the public authority | Specific procedures are developed for the destruction of all formats of records from all environments in the public authority | Strategies are in place to ensure that all versions and renditions of a record are destroyed as part of the same process |
| Documenting disposal | No record of disposal actions is retained | Simple lists are kept of destroyed and/or transferred records and the circumstances of disposal | The following information is kept for every destroyed and/or transferred record:  
• unique record identifier  
• Queensland Disposal Authority Number (QDAN), version number and reference | Information relating to disposal is incorporated in the relevant recordkeeping systems of the public authority | Recordkeeping metadata documents the history of disposal decisions, including ressentencing if applicable |

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<table>
<thead>
<tr>
<th>Level 3: Defined is regarded as the minimum necessary for good practice recordkeeping in accordance with Queensland State Archives requirements. Specific minimum compliance requirement in accordance with Information Standard 40: Recordkeeping or Information Standard 31: Retention and Disposal of Public Records are marked with an asterisk (*). In general, performance at a higher level includes the requirements of the lower levels.</th>
</tr>
</thead>
<tbody>
<tr>
<td>number under which the records are disposed</td>
</tr>
<tr>
<td>disposal sentence</td>
</tr>
<tr>
<td>date of disposal, and</td>
</tr>
<tr>
<td>authorising officer*</td>
</tr>
<tr>
<td>For destroyed records, the following information is also kept:</td>
</tr>
<tr>
<td>how the records were destroyed, and</td>
</tr>
<tr>
<td>who destroyed the records*</td>
</tr>
<tr>
<td>Contractual arrangements require external providers to submit certificates of destruction*</td>
</tr>
</tbody>
</table>
Appendix B: Assessment process overview

This appendix provides a summary of the stages involved in undertaking an assessment against the recordkeeping maturity model. See section 4 for more detail. This approach is recommended only and organisations are encouraged to adapt it to their own needs. An alternative, ‘streamlined’ approach is outlined in Appendix C.

Stage 1: Plan
- Determine project scope
- Develop project plan and timelines
- Identify project team
- Commence stakeholder engagement

Stage 2: Data collection
- Background knowledge
- Gather documentary evidence
- Conduct interviews and focus groups

Stage 3: Analysis
- Consolidate findings
- Manage conflicting findings
- Assess ‘as-is’ maturity levels

Stage 4: Set targets and build support
- Set targets for improvement
- Identify priorities for action
- Test the findings
- Develop report for endorsement
- Communicate results to stakeholders

Stage 5: Improve and review
- Review governance arrangements
- Implement improvements
- Schedule future review
Appendix C: Alternative assessment approach

This appendix outlines an alternative and more streamlined assessment approach which may be appropriate for smaller or less complex agencies, or for when just a quick status check is necessary. It serves as an example of how the fuller assessment methodology can be adapted. This approach assumes that the assessment is being conducted by a person with extensive pre-existing knowledge of recordkeeping within the organisation.

The diagram below outlines the approach and includes references to appropriate sections in the road map for more information. Organisations are encouraged to adapt the methodology to suit their own environment.

While a streamlined approach requires less time and resources, the main risks of this approach are that the assessment may be less accurate and that, without formal support of the assessment process, it may be harder to gain support for identified improvement actions.

<table>
<thead>
<tr>
<th>Step</th>
<th>Details</th>
</tr>
</thead>
<tbody>
<tr>
<td>Determine scope</td>
<td>• Determine whether the assessment will cover all or parts of the organisation, and all aspects of recordkeeping or only certain areas</td>
</tr>
<tr>
<td></td>
<td>• Refer to section 4.1 Determine project scope</td>
</tr>
<tr>
<td>Review model and give indicative score for each key area</td>
<td>• Select appropriate levels in the maturity model spreadsheet, where performance is known.</td>
</tr>
<tr>
<td></td>
<td>• Indicate supporting evidence</td>
</tr>
<tr>
<td></td>
<td>• Refer to section 4.3 Assess ‘as-is’ maturity levels</td>
</tr>
<tr>
<td>Gather further information as required</td>
<td>• For the key areas where a level could not be identified based on pre-existing knowledge, identify appropriate sources of information</td>
</tr>
<tr>
<td></td>
<td>• Locate and review documentary evidence, and/or consult with stakeholders as required.</td>
</tr>
<tr>
<td></td>
<td>• Refer to section 4.2</td>
</tr>
<tr>
<td>Finalise levels</td>
<td>• Based on information collected, complete identification of levels in the maturity model spreadsheet</td>
</tr>
<tr>
<td></td>
<td>• Include relevant evidence</td>
</tr>
<tr>
<td></td>
<td>• Refer to section 4.3</td>
</tr>
<tr>
<td>Set targets and make recommendations</td>
<td>• Identify areas for improvement, for example key areas below level 3.</td>
</tr>
<tr>
<td></td>
<td>• Prioritise improvement actions</td>
</tr>
<tr>
<td></td>
<td>• Communicate findings and recommendations</td>
</tr>
<tr>
<td></td>
<td>• Seek approval as required</td>
</tr>
<tr>
<td></td>
<td>• Refer to section 4.4</td>
</tr>
<tr>
<td>Implement improvements</td>
<td>• Refer to section 4.5</td>
</tr>
</tbody>
</table>
Appendix D: Evidence Guide

The table below outlines documentary evidence that assists the maturity assessment. It includes key documents and does not cover all aspects of the maturity model. Other, more specific records will provide evidence for different key areas and indicators, for example attendance at training courses, documentation for particular systems, and inclusion of recordkeeping in outsourcing contracts.

<table>
<thead>
<tr>
<th>Key documents</th>
<th>What to look for</th>
<th>Relevant principle</th>
</tr>
</thead>
<tbody>
<tr>
<td>Recordkeeping strategies, plans and policies</td>
<td>Lists of relevant legislation</td>
<td>IS40 1</td>
</tr>
<tr>
<td></td>
<td>SWOT analysis</td>
<td>IS40 2</td>
</tr>
<tr>
<td></td>
<td>Plans and policies cover entire organisation</td>
<td>IS40 3</td>
</tr>
<tr>
<td></td>
<td>Allocation of responsibilities</td>
<td>IS40 4</td>
</tr>
<tr>
<td></td>
<td>Identification of governance framework</td>
<td>IS40 7</td>
</tr>
<tr>
<td></td>
<td>Statement that records need to be created</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Recordkeeping operational plans include KPIs</td>
<td></td>
</tr>
<tr>
<td>Business Classification Scheme</td>
<td>Evidence of requirements to create records</td>
<td>IS40 1</td>
</tr>
<tr>
<td></td>
<td>Based on functions and activities</td>
<td>IS40 7</td>
</tr>
<tr>
<td></td>
<td>Covers all of the organisation</td>
<td></td>
</tr>
<tr>
<td>Retention and Disposal Schedule</td>
<td>Requirements to create and maintain records are identified</td>
<td>IS40 1</td>
</tr>
<tr>
<td></td>
<td>Authorisation from the State Archivist</td>
<td>IS40 1</td>
</tr>
<tr>
<td></td>
<td>Covers all of the organisation</td>
<td>IS31 1</td>
</tr>
<tr>
<td>Legislative mapping</td>
<td>Documentation of legislative requirements</td>
<td>IS40 1</td>
</tr>
<tr>
<td>Business process documentation or procedures</td>
<td>Identification of requirements to create records at particular points of a process</td>
<td>IS40 1</td>
</tr>
<tr>
<td></td>
<td>Procedures for key records management processes, including capture, classification,</td>
<td>IS40 4</td>
</tr>
<tr>
<td></td>
<td>access controls and disposal</td>
<td>IS40 5</td>
</tr>
<tr>
<td></td>
<td></td>
<td>IS31 2</td>
</tr>
<tr>
<td>Audits or reviews, including responses to QSA surveys</td>
<td>Evidence of previous monitoring / assessment, for example Compliance Checklist or</td>
<td>IS40 2</td>
</tr>
<tr>
<td></td>
<td>Recordkeeping Baseline Survey</td>
<td></td>
</tr>
<tr>
<td>Delegations, position descriptions and/or</td>
<td>Allocation of recordkeeping responsibilities</td>
<td>IS40 3</td>
</tr>
<tr>
<td>performance agreements</td>
<td>Delegation of authority for disposal</td>
<td>IS40 4</td>
</tr>
<tr>
<td></td>
<td></td>
<td>IS31 2</td>
</tr>
<tr>
<td>Project plans for records management projects</td>
<td>Evidence that recordkeeping initiatives are planned and managed</td>
<td>IS40 4</td>
</tr>
</tbody>
</table>
Appendix E: Interview Guide

Before you start

Before interviewing stakeholders ensure you have a good understanding of what the assessment project is seeking to achieve, a detailed knowledge of the elements of the maturity model and related standards, a good knowledge of the organisation and its operations, and an understanding of the outcomes you want to achieve through the interview process.

Interviews can be conducted in a number of ways. Choose any that are appropriate for your targeted stakeholders, for example:

- individual interviews
- workshops or focus groups with selected staff
- a combination of these.

Interviewing individuals is useful to investigate a particular area in depth, which the participant has expertise in. A workshop is useful for a more general overview of the range of experience and views in a particular area.

Who to interview

Deciding who to interview depends on the scope of your project (for example, whether it covers all parts of the organisation) and the expertise already represented on the project team. If you are doing an assessment across the whole organisation, talk to a range of staff including:

- those responsible for central records management, including senior staff with management oversight such as chief information officers
- managers responsible for core business processes and the systems that support them, to understand if, and how, recordkeeping is embedded in particular business processes
- representatives from across the entire organisation to measure their understanding of recordkeeping requirements and the comprehensiveness of recordkeeping practice.

Structuring your interview

Be well prepared and understand the range of different issues you need to seek advice upon. Structure your interviews accordingly. Section 4.2 contains an example of preparing interview questions for a particular audience. Preparation ensures that you will only need to interview each person once, with perhaps some follow-up to clarify any comments or suggestions.

Preparing interviewees

To make the best use of interview time ensure that the people you want to meet are appropriately briefed about the assessment and the specific information you require from them.

Arrange for a memo or email to be circulated to all staff identified as potential interviewees. It should:

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• explain who you are and the name of your project
• describe the expected outcomes of the project, emphasising the benefits to the organisation
• indicate that interviewees have been selected because of their knowledge of the structure, functions and business activities of the organisation, as well as their understanding of the organisation's information needs
• identify the type of information you require and request that the interviewee consider these matters prior to being interviewed
• state how long you anticipate the interview will last, and
• thank prospective interviewees for their cooperation.

A sample email is included at Appendix F. Once you have decided on a time period in which to conduct the interviews, contact the interviewees and schedule the sessions.

Be prepared to be flexible by extending the interview program's timeframe to fit in with the interviewee's other commitments.

Preparing yourself

Have pre-drafted questions to help you manage and structure your interviews, while still remaining flexible to follow new issues of interest that occur during conversation. Be sure that the questions you ask specifically relate to the types of information you wish to obtain and are relevant to the role of the participants. The questions should not duplicate information that the interviewee might expect you to have identified through background research into formal policies, procedures and strategies. However, it may be relevant to ask questions about implementation or awareness of formal documents.

Writing up notes

Write up your notes directly after the interview. Structure your notes clearly, for example according to each question or according to predetermined topics such as areas of the maturity model.

Provide adequate information to enable every source to be identified (for example, person's name, position, functional responsibilities, length of experience in the organisation, date of the interview).
Appendix F: Sample email to interviewees

The following text is an example email that can be used to approach potential interviewees.

Dear [Name]

Sound recordkeeping practices are essential to support the effectiveness of our business and in accordance with requirements such as the Public Records Act 2002. Queensland State Archives has developed a road map to assist organisations to assess their current recordkeeping performance and identify areas for improvement. [Organisation Name] is undertaking an assessment using the road map and associated maturity model to identify the organisation’s current recordkeeping capabilities and develop strategic plans for improving our performance.

A Project Team comprised of [Number] [Organisation] employees are conducting the assessment over (specify period of time). An important part of the assessment process is senior executive interviews. Your input and participation in this project will be of great value to the organisation.

[Name of person] will be contacting you to schedule an interview for (period when interviews will take place). The interview is expected to last a maximum of [insert time] and you will receive some questions ahead of time. The interview will be conducted by [name of project team member].

Should you have any questions regarding this project, please do not hesitate to contact [Name of person] at [telephone]. Your participation is appreciated.

Sincerely,

Senior Project Champion/Sponsor

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12 This Appendix is based on the ‘Sample email to stakeholder interviewees’ developed by Library and Archives Canada to support their Information Management Capacity Check Tool and Methodology. See http://www.collectionscanada.gc.ca/government/products-services/007002-2003-e.html.