

# Compliance Guideline

For Queensland Public Authorities

to self-assess compliance with  
*Information Standard 40: Recordkeeping*

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**Queensland** Government  
Queensland **State Archives**

Department of **Public Works**

# Compliance Guideline

## 1 Introduction

In support of current recordkeeping legislation, policies and standards, Queensland State Archives has developed a compliance checklist for public authorities. Public authorities can use the checklist to determine if their recordkeeping and information management processes and systems comply with the recordkeeping principles established within *Information Standard 40: Recordkeeping* (IS40). The identified attributes in the checklist are drawn from the recordkeeping principles in IS40 and provide a basis for assessment against existing work practices, documentation, systems and staff knowledge and skills.

By the end of 2006, State Government agencies and Local Governments are required to achieve compliance with seven recordkeeping principles set down in IS40. Statutory entities and Government Owned Corporations are required to achieve full compliance by the end of 2007. The primary purpose of IS40 is to assist agencies to meet their recordkeeping obligations under the *Public Records Act 2002* (the Act). IS40 also assists agencies to foster recordkeeping best practice across the Queensland public sector.

The compliance should include not only public records in the public authority's formal registry files, but also records outside the recognised recordkeeping systems, for example, records in mainstream business or information systems or in databases. All public records, regardless of their format, carry evidence of decisions or business activities that public authorities need to capture and manage. In ensuring compliance with recordkeeping best practice, all aspects of the records continuum, for both paper and electronic records, need to be considered including

system design, record creation, capture, maintenance and use, disposal and archiving. Therefore, in this document, reference to a recordkeeping system includes business systems that create, capture and maintain records.

## 2 Purpose

This checklist will assist public authorities to assess their compliance with the *Public Records Act 2002* and the recordkeeping standards and guidelines authorised under the Act. Public authorities can then establish to what extent they are meeting their obligations under Section 7 of the Act in that they are making and keeping full and accurate records of their activities.

## 3 Application of this Compliance Checklist

Officers responsible for managing a public authority's records, or an internal or independent auditor, should apply this compliance checklist annually as part of their public authority's records management audit regime. Ideally the assessment should be conducted by a person familiar with the unit/area being assessed and an independent person (e.g. Chief Information Officer or an internal auditor). Public authority managers and internal auditors can also utilise this tool to identify areas of non-compliance relating to records management and provide constructive advice and recommendations to senior management on further or remedial action considered necessary.

In the case of shared service arrangements, representatives from the Shared Service Provider and each cluster agency could apply the checklist to those recordkeeping functions that are being carried out by the Shared Service Provider.

## Compliance Guideline continued...

The checklist identifies each of the seven Recordkeeping Principles in IS40 and provides supporting policy explanations. A number of attributes that indicate compliance follow each principle. Attributes in **bold text** are considered mandatory attributes and those not in bold are considered desirable attributes. The mandatory attributes are those attributes considered the most important in achieving compliance and also those which might be subject to future formal audits of recordkeeping. Further explanation of activities/attributes may be obtained by reviewing the *Best Practice Guide to Recordkeeping* which is available on Queensland State Archives' website and explains in more detail the principles in IS40.

The seven Recordkeeping principles in IS40 to which public authorities must adhere, are:

- recordkeeping must ensure public authorities are compliant and accountable
- recordkeeping must be monitored and audited for compliance
- recordkeeping must be assigned and implemented
- recordkeeping must be managed
- recordkeeping systems must be reliable and secure
- recordkeeping must be systematic and comprehensive
- full and accurate records must be made and kept for as long as they are required for business, legislative, accountability and cultural purposes.

For each principle, public authorities will need to document (in the checklist provided) evidence of compliance. Evidence could take the form of:

- policies, plans, guidelines or process manuals
- documented procedures or work instructions
- records of interviews with selected staff
- electronic or hardcopy documents such as web pages or a staff newsletter advising staff of their recordkeeping responsibilities
- program evaluations or audit reports of recordkeeping
- position descriptions, performance reviews or organisational charts
- training or communication plans
- a training needs analysis
- information security plans
- issues registers
- classification schemes or thesauri
- an approved retention and disposal schedule
- a recordkeeping metadata schema
- a disposal register
- a disaster risk assessment and business continuity plan
- files and records.

Public authorities can indicate, in the checklist provided, the assessed level of compliance and record comments about any actions they may need to undertake to meet compliance with the attribute.

## 4 Results

Implementation of the compliance checklist will provide valuable information on the extent of the public authority's compliance levels with each of the seven principles of IS40. This will enable those applying the checklist to provide management with a "gap analysis" of where the strengths and weaknesses lie within the public authority's records management program. Public authorities may wish to conduct a risk assessment in conjunction with the compliance checklist, to prioritise records management activities.

On completion of the compliance checklist, document any necessary remedial actions along with the date of the next compliance self-assessment. Public authorities should consider identifying individuals who will be responsible for undertaking remedial action within a specified time period. A first priority when undertaking successive assessments is to determine whether remedial action identified in previous assessments has been completed.

## 5 Consultation and Review

This self-assessment checklist has been developed by Queensland State Archives in consultation with public authorities.

## 6 Further Information

If you require further assistance or have any queries regarding this checklist, please visit the Queensland State Archives' website at <http://www.archives.qld.gov.au>, or contact us:

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## 7 Glossary

*QSA's Glossary of Archival and Recordkeeping Terms* (<http://www.archives.qld.gov.au/downloads/GlossaryOfArchivalTerms.pdf>) can be accessed to provide further information about terminology used in the checklist.

## DISCLAIMER

*The following checklist aims to assist public authorities to assess compliance with Information Standard 40: Recordkeeping. The checklist is not exhaustive and can be tailored to reflect the circumstances of individual agencies, however, the mandatory principles (in bold text) are to remain intact.*

*NOTE: Recordkeeping System includes any business system that captures and maintains records (e.g. SAP, Finance One, Aurion etc).*



