Recordkeeping maturity assessment tool

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*Recordkeeping Maturity Assessment Tool*

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Information security

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# Summary

The *Recordkeeping maturity assessment tool* (the Assessment Tool) is designed to allow agencies to monitor and improve their recordkeeping maturity. Building on the [Records governance policy](https://www.qgcio.qld.gov.au/documents/records-governance-policy-implementation-guideline) and Queensland’s digital strategy, [DIGITAL1ST](https://digital1st.initiatives.qld.gov.au/), the Assessment Tool is part of Queensland State Archive’s Recordkeeping Transformation Program. It will enable agencies to take full advantage of records and information and achieve their strategic goals more efficiently and effectively. The Assessment Tool describes five levels of maturity along with performance indicators for each level. Agencies can use it to both determine their current maturity and to guide improvements.

# Introduction

Digital technology has changed how we work - and changed the responsibilities that go along with that work. Along with the [*Public Records Act 2002*](https://www.legislation.qld.gov.au/view/pdf/inforce/current/act-2002-011), Right to Information and privacy legislation, and increasing regulation generally, agencies must also be responsive to changes in community expectations. The community expects an open, accountable and trusted government.

Records and information management is key to meeting this expectation. Complete and reliable records allow both communities and agencies to have confidence in the decisions that are being made and the actions that are being taken. Recordkeeping maturity also gives an agency access to the information they need – enabling hindsight, insight and foresight to make evidence-based strategic decisions.

As part of QSA's Recordkeeping Transformation Program, the *Recordkeeping maturity assessment tool* aims to improve the standard of records and information management across government. The Assessment Tool provides both a guide for advancing maturity and a self-assessment instrument. It recognises that strong records management is a responsive process centred on continuous improvement.

## 2.1 Purpose

Measuring performance is an important step for any agency wishing to improve their recordkeeping maturity and to work more efficiently and effectively.

The Assessment Tool is intended to enable agencies to self-measure their progress in achieving recordkeeping maturity and provide guidance for agencies that wish to improve recordkeeping maturity.

Along with results from *The Building digital capability – Records governance policy baseline survey*, the Assessment Tool may be used to measure progress, perform quick status checks including of individual business units or agency areas or perform a deeper analysis of areas for improvement and to identify gaps and weaknesses.

Agencies are not required to report on their results from using the Assessment Tool to QSA.

## 2.2 Audience

The intended audience includes records and information managers, agency executives and management, and any other parties interested in the improvement or evaluation of their agency’s recordkeeping maturity.

# Other resources

Other resources that agencies may find relevant to their consideration or development of recordkeeping maturity include the policies and standards issued by the [Queensland Government Chief Information Office](https://www.qgcio.qld.gov.au/publications/qgea-policies,-standards-and-guidelines) (QGCIO) under the [Queensland Government Enterprise Architecture (QGEA).](https://www.qgcio.qld.gov.au/information-on/qgea)

While the QGEA is only mandatory for government departments, many of the policies and standards represent best practice and other agencies may also benefit from referring to these policies and standards.

Relevant policies and standards include:

* + [Information security policy (IS18:2018)](https://www.qgcio.qld.gov.au/documents/information-security-policy)
  + [Metadata management principles](https://www.qgcio.qld.gov.au/documents/metadata-management-principles)
  + [Information asset custodianship policy (IS44)](https://www.qgcio.qld.gov.au/documents/information-asset-custodianship-policy-is44)
  + [Queensland Government Information Security Classification Framework](https://www.qgcio.qld.gov.au/documents/information-security-classification-framework-qgiscf)

# Maturity levels

The *Recordkeeping maturity assessment tool* provides a five-level model for agencies to gauge and progress their recordkeeping maturity.

Each level of maturity is described below. Further examples of performance indicators for each level are provided in the table in [Section 7](#_Maturity_tool).

## 4.1 Undeveloped records management

An agency with undeveloped records management is an agency that is struggling with its records.

This agency does not understand its recordkeeping obligations in depth and has difficulty meeting them. It handles records inconsistently and often does not have the time or resources to do more. It does not have a plan or strategy to address its records management issues or is not aware of what the issues are.

The goal for an agency with undeveloped records management is to take stock of its activities and to build its understanding of records management.

## 4.2 Developing records management

An agency with developing records management is an agency that is aware of its weaknesses and gaps.

This agency is working to improve consistency in recordkeeping processes and outcomes with a focus on compliance. It is developing its understanding of records management and how it intersects with all activities. It is beginning to understand what is possible in terms of records and information management and the agency benefits that can result.

The goal for an agency with developing records management is to have a plan to address the gaps in its records management.

## 4.3 Acceptable records management

An agency with acceptable records management is an agency that is meeting the [Records governance policy](https://www.qgcio.qld.gov.au/documents/records-governance-policy)requirements.

This agency has developed and is implementing a tailored plan to improve records management. It is carefully and methodically improving to meet its needs. This agency is beginning to reap the benefits of its recordkeeping maturity. It is focused on present needs but increasingly considers future needs and goals.

The goal for an agency with acceptable records management is systematic alignment – ensuring that processes and systems support and reinforce one another.

## 4.4 Managed records management

An agency with managed records management is an agency that is thorough and systematic.

Its records management runs smoothly and is aligning across the agency and integrating into all aspects of the agency’s activities. It is beginning to explore strategic recordkeeping – using the full value of records and information to achieve and shape the agency’s strategic goals.

The goal for an agency with managed records management is to turn systematic records management into strategic records management.

## 4.5 Embedded records management

An agency with embedded records management is an agency that has embedded strategic, aligned records management into the organisation at every level.

Every part of its records management contributes to and supports the achievement of the agency’s strategic goals. The agency understands and takes advantage of the full value of records and information to make evidence-based decisions. This agency embraces digital ways of working and has clear short and long-term digital goals.

The goal of an agency with embedded records management is continuous improvement.

# The Assessment Tool

The Assessment Tool has six sections corresponding to the six Policy Requirements of the [Records governance policy](https://www.qgcio.qld.gov.au/documents/records-governance-policy-implementation-guideline). Each section provides performance indicators for each maturity level with key performance indicators for an acceptable level of maturity highlighted in bold.

To use the Assessment Tool, review each table and mark which indicators correspond most closely to your agency’s activities.

Look at the pattern of indicators you have marked and identify which level of maturity has the most marks and most accurately reflects your activities. A mix of corresponding indicators across two or more columns suggests transition between the levels of maturity.

Once you have determined your level of maturity, use the performance indicators for the next higher level of maturity as your goals and your guide to improving recordkeeping maturity.

The weighting of each activity will depend on an individual agency’s strategic priorities. The examples provided are not the only way an agency may demonstrate a level of maturity.

The following key may assist in determining your agency’s level of maturity.

|  |  |  |
| --- | --- | --- |
| **Performance indicator** | **Quantitative measure** | **Description** |
| Always/Almost always | More than 80% of the time | * + Mindful, strategic records management is embedded in all processes and activities.   + Processes are aligned and integrated across the agency providing consistency and reinforcement.   + Continuous review and improvement is occurring across the agency. |
| Usually | 61-80% of the time | * + Positive records management behaviours are becoming the ordinary way of working.   + Processes have been implemented and are being aligned.   + Change has occurred in most parts of the agency. |
| Often | 41-60% of the time | * + Positive records management behaviours are increasing.   + Plans have been developed and are being implemented.   + Change is occurring across the agency at different rates. |
| Sometimes | 21-40% of the time | * + Reviews are being undertaken to determine gaps and opportunities.   + Plans for change are being developed.   + Understanding is increasing. |
| Rarely/Never | Less than 20% of the time | * + Poor practices are common.   + Projects and activities are ad hoc or do not occur.   + Weaknesses are largely unknown or there is no appetite for improvement. |

# Authority

This is issued under section 25 of the [*Public Records Act 2002*](https://www.legislation.qld.gov.au/view/pdf/inforce/current/act-2002-011)which enables the State Archivist to make policy, standards and guidelines about the making, keeping, preserving, managing and disposing of public records.

# Maturity tool

## 7.1 My agency supports records management at every level (Records governance policy - Policy requirement 1)

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Undeveloped** | **Developing** | **Acceptable** | **Managed** | **Embedded** |
| We do not support records management. | We are beginning to support records management. | My agency supports records management. | My agency supports records management systematically. | My agency strongly supports records management at every level. |
| * *No key role/s have formal records management responsibilities.* * Key roles do not know and are not aware of the value of records and information. | * *Some non-key roles have formal records management responsibilities.* * Management is aware of records management issues but are not actively responding. | * **Key roles have formal records management responsibilities and advocate for recordkeeping maturity and implementation of the Records governance policy (PR1.1).** * There is executive-level support for the value of records management. | * *Key roles with formal records management responsibilities are gaining traction in improving strategic recordkeeping maturity.* * Agency leadership is committed to improving records management, especially for digital records. | * *Key roles with formal records management responsibilities strongly advocate for and achieve change in favour of strategic recordkeeping maturity.* * Agency leadership drive continuous improvement of records management with a focus on digital records. |
| * *Staff rarely or never know the value of records and information and how this relates to agency obligations and employee responsibilities.* * We do not have a plan to improve understanding of the value of records and information and how this relates to agency obligations and employee responsibilities. * My agency and staff rarely or take advantage of specialist recordkeeping advice and guidance at either the strategic or operational level. | * *Staff sometimes understand the value of records and information and how this relates to agency obligations and employee responsibilities.* * We are developing a plan to improve understanding of the value of records and information, agency obligations and employee responsibilities. * My agency and staff sometimes take advantage of specialist recordkeeping advice and guidance, mostly at the operational level. | * **Staff often understand the value of records and information and how it relates to agency obligations and employee responsibilities (PR1.2).** * We have developed and are implementing our plan to improve understanding of the value of records and information, agency obligations and employee responsibilities. * Our plan to increase understanding of the value of records, agency obligations and employee responsibilities is reviewed when there is an external prompt. * My agency and staff often take advantage of specialist recordkeeping advice and guidance at the operational level with limited advice available at the strategic level. | * *Staff usually understand the value of records and information and how this relates to agency obligations and employee responsibilities.* * We regularly review our plan to improve understanding of the value of records and information, agency obligations and employee responsibilities. * My agency and staff usually take advantage of specialist recordkeeping advice and guidance at both the strategic and operational level. | * *Staff always or almost always understand the value of records and information and how this relates to agency obligations and employee responsibilities.* * We continuously review our plan to improve understanding of the value of records and information, agency obligations and employee responsibilities. * My agency and staff always or almost always take advantage of specialist recordkeeping advice and guidance at both the strategic and operational level. |
| * *There are few or no efforts to foster a positive, innovative or collaborative recordkeeping culture.* * Records management is not viewed as crucial or a priority. | * *We are developing a plan to foster a positive, innovative and collaborative recordkeeping culture.* * Records management is viewed as a compliance issue, one that is the responsibility of records management professionals (if any). | * **We have developed and are implementing a plan to foster a positive, innovative and collaborative recordkeeping culture (PR1.3).** * Efforts to foster a positive, innovative and collaborative recordkeeping culture are reviewed when there is an external prompt. * Records management is viewed as everyone’s responsibility. | * *Efforts to foster a positive, innovative and collaborative recordkeeping culture are regularly reviewed.* * Records management, especially digital records management, is viewed as both a responsibility and an opportunity. | * *Efforts to foster a positive, innovative and collaborative recordkeeping culture are continuously reviewed.* * Records management, especially digital records management, is viewed as a key strategic tool. |
| Our maturity level: | | |  | |

## 7.2 My agency systematically manages records using governance practices that are integrated and consistent with broader agency frameworks (Records governance policy - Policy requirement 2)

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Undeveloped** | **Developing** | **Acceptable** | **Managed** | **Embedded** |
| My agency rarely or never systemically manages records using governance practices that are integrated or consistent with broader agency frameworks. | My agency sometimes systematically manages records using governance practices that are integrated and consistent with broader agency frameworks. | My agency often systematically manages records using governance practices that are integrated and consistent with broader agency frameworks. | My agency usually systematically manages records using governance practices that are increasingly inseparable and indistinguishable from broader agency frameworks. | My agency always or almost always systematically manages records using governance practices that are inseparable and indistinguishable from broader agency frameworks. |
| * *Our records management is disconnected from or inconsistent with broader agency frameworks.* * *Our strategic and business plans rarely or never incorporate records management.* * We are not identifying opportunities for integration and alignment of records management with broader agency frameworks, business strategies and objectives. | * *We deal with records management at the business unit or project level with no overarching strategy.* * *Some strategic and business plans incorporate records management.* * We are identifying opportunities for the integration and alignment of records management with broader agency frameworks, business strategies and objectives. | * **Our records management is often aligned with broader agency frameworks (PR2.1).** * **Our business strategies and objectives often incorporate records management (PR2.1)**. * We are actively integrating and aligning our records management with broader agency frameworks, business strategies and objectives. | * *Our records management is usually systematically aligned with broader agency frameworks.* * *Our business strategies and objectives usually incorporate records management systemically and comprehensively.* * We regularly review the integration and alignment of records management with broader agency frameworks, business strategies and objectives. | * *Our records management is integrated with, and cannot be distinguished from, broader governance frameworks, business strategies and objectives.* * We continuously review the integration and alignment of records management with broader agency frameworks, business strategies and objectives. |
| * *We do not have documentation on how active records management will strengthen business imperatives or strategic goals.* * Our records governance is not based on a unifying goal or purpose. * Our records management rarely or does not align with broader, whole-of-government initiatives. | * *We are developing appropriate and fit-for-purpose documentation that details how active records management will strengthen business imperatives and strategic goals*. * Our records management is based on compliance. * Our records management sometimes aligns with broader, whole-of-government digital initiatives. | * **We have developed and are implementing appropriate and fit-for-purpose documentation that details how active records management will strengthen agency business imperatives and strategic goals (PR2.2).** * Our records management is based on cost reduction and identifying inefficiencies. * Our records management often aligns with broader, whole-of-government digital initiatives. | * *Active records management is consistent with and integrating into the implementation of agency business imperatives and strategic goals.* * Our records management is based on improving customer experience and decision making. * Our records management usually aligns with whole-of-government digital initiatives. | * *Active records management is integrated with and cannot be distinguished from the implementation of agency business imperatives and strategic goals.* * Our records management is based on digital transformation and continuous improvement. * Our records management always or almost always aligns with whole-of-government digital initiatives. |
| * *We rarely or do not know if we comply with relevant legislation that governs recordkeeping responsibilities.* * We rarely or do not review our compliance with legislative recordkeeping responsibilities. | * *We sometimes know if we comply with relevant legislation that governs recordkeeping responsibilities.* * We review our compliance with legislative recordkeeping responsibilities inconsistently. | * **We often know if we comply with relevant legislation that governs recordkeeping responsibilities (PR2.3).** * We review our compliance with legislative recordkeeping responsibilities when there is an external prompt. | * *We usually know if we comply with relevant legislation that governs recordkeeping responsibilities.* * We regularly review our compliance with legislative recordkeeping responsibilities. | * *We always or almost always know if we comply with relevant legislation that governs recordkeeping responsibilities.* * We continuously review our compliance with legislative recordkeeping responsibilities. |
| * *We rarely or never measure how well records management supports agency business imperatives and strategic goals.* * Records management metrics are rarely or never reported to senior executives. | * *We inconsistently measure how well records management supports agency business imperatives and strategic goals.* * Limited records management metrics are sometimes reported to senior executives, often on a reactive basis. | * **We measure how well records management supports agency business imperatives and strategic goals when there is an external prompt (PR2.4).** * Some records management metrics are regularly reported to senior executives. | * *We regularly measure how well records management supports agency business imperatives and strategic goals.* * Records management metrics are regularly reported to senior executives. | * *We continuously measure how well records management supports agency business imperatives and strategic goals.* * Records management metrics that provide strategic insights are continuously reported to senior executives. |
| Our maturity level: | | |  | |

## 7.3 My agency creates complete and reliable records (Records governance policy - Policy requirement 3)

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Undeveloped** | **Developing** | **Acceptable** | **Managed** | **Embedded** |
| My agency rarely creates complete or reliable records. | My agency sometimes creates complete and reliable records. | My agency often creates complete and reliable records. | My agency usually creates complete and reliable records. | My agency always or almost always creates complete and reliable records. |
| * *We rarely or never identify the records we need to operate.* * We do not have processes for identifying the records we need to operate. | * *We sometimes identify the records we need to operate.* * We are developing processes for identifying the records we need to operate. * How we identify the records we need to operate is not aligned across the agency. | * **We often identify the records we need to operate (PR 3.1).** * We have developed and are implementing processes for identifying the records we need to operate. * We review the processes for identifying the records we need to operate when there is an external prompt. * How we identify the records we need to operate is being reviewed for alignment across the agency. | * *We usually identify the records we need to operate.* * We regularly review the processes for identifying the records we need to operate. * How we identify the records we need to operate is being aligned across the agency. | * *We always or almost always identify the records we need to operate.* * We continuously review the processes for identifying the records we need to operate. * How we identify the records we need to operate is aligned across the agency. |
| * *Processes for creating records are developed and implemented on an ad hoc, reactive basis or not at all.* | * *We are developing processes for creating complete and reliable records.* * How we create complete and reliable records is not aligned across the agency. | * **We have developed and are implementing processes for creating complete and reliable records (PR3.2).** * We review the processes for creating complete and reliable records when there is an external prompt. * How we create complete and reliable records is being reviewed for alignment across the agency. | * *We regularly review the processes for creating complete and reliable records.* * How we create complete and reliable records is being aligned across my agency. | * *We continuously review the processes for creating complete and reliable records.* * How we create complete and reliable records is aligned across my agency. |
| * *Record creation is rarely or never integrated into existing business processes*. * The integration of records creation into business processes is rarely or never reviewed. | * *Record creation is sometimes integrated into existing business processes.* * The integration of records creation into business processes is inconsistently reviewed. | * **Record creation is often integrated into existing business processes (PR3.3).** * The integration of records creation into business processes is reviewed when there is an external prompt. | * *Record creation is usually systematically integrated into new and existing business processes.* * The integration of records creation into business processes is regularly reviewed. | * *Records creation is always or almost always integrated into business processes.* * The integration of record creation into business processes is continuously reviewed. |
| * *Records management is rarely or never considered when decisions are made about business systems.* * We rarely or do not have processes that require records management to be considered when decisions are made about business systems. * We have a few, unconnected digital processes and systems. | * *Records management is sometimes considered when decisions are made about business systems.* * We are developing processes that require records management to be considered when decisions are made about business systems. * When it is considered, records management is an afterthought when decisions are made about business systems. * We have some digital processes, often outward facing. | * **Records management is often considered when decisions are made about business systems (PR3.4).** * We have developed and are implementing processes that require records management to be considered when decisions are made about business systems. * Records management is one of many considerations when decisions are made about business systems. * We are digitising high-volume processes and services. | * *Records management is usually considered when decisions are made about business systems.* * We regularly review the processes that require records management to be considered when decisions are made about business systems. * Records management needs usually influence decisions about business systems. * We are systematically transforming to support working digitally by default with priority determined by risk-value assessments. | * *Records management is always or almost always considered when decisions are made about business systems.* * We continuously review the processes that require records management to be considered when decisions are made about business systems. * Records management needs and goals always or almost always determine strategic decisions about business systems. * We are digital by default with paper records only created as an exception. |
| Our maturity level: | | |  | |

## 7.4 My agency actively manages permanent, high-value and high-risk records and information as a priority (Records governance policy - Policy requirement 4)

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Undeveloped** | **Developing** | **Acceptable** | **Managed** | **Embedded** |
| My agency rarely or does not actively manage our permanent, high-value and high-risk records. | My agency sometimes actively manages our permanent, high-value and high-risk records. | My agency often actively manages our permanent, high-value and high-risk records as a priority. | My agency usually actively manages our permanent, high-value and high-risk records in a systematic way. | My agency always or almost always actively manages our permanent, high-value and high-risk records in accordance with our strategic goals. |
| * *We have not defined the criteria or processes for identifying permanent, high-value and high-risk records or have done so on an ad hoc basis.* * We rarely or never identify our permanent, high-value or high-risk records. | * *We are developing our criteria and processes for identifying permanent, high-value or high-risk records.* * We sometimes identify our permanent, high-value or high-risk records. | * **We have defined the criteria and processes for identifying permanent, high-value and high-risk records including transfer of permanent records to QSA (PR4.1).** * We review the criteria and processes for identifying permanent, high-value and high-risk records when there is an external prompt. * We often identify our permanent, high-value or high-risk records. | * *We regularly review the criteria and processes for identifying permanent, high-value and high-risk records.* * We usually identify our permanent, high-value or high-risk records. | * *We continuously review the criteria and processes for identifying permanent, high-value and high-risk records.* * We always or almost always identify our permanent, high-value or high-risk records. |
| * *We do not formally document the details of permanent, high-value and high-risk records or do so in an ad hoc fashion.* * We do not have processes for documenting the details of permanent, high-value or high-risk records. | * *We sometimes document the details of permanent, high-value and high-risk records.* * We are developing processes for documenting the details of permanent, high-value and high-risk records. * How we identify and document the details of permanent, high-value and high-risk records is not aligned across the agency. | * **We often document the details of permanent, high-value and high-risk records (PR 4.2).** * We have developed and are implementing processes for documenting the details of permanent, high-value and high-risk records. * We review our processes for documenting the details of permanent, high-value and high-risk records when there is an external prompt. * How we identify and document the details of permanent, high-value and high-risk records is being reviewed for alignment across the agency. | * *We usually document the details of permanent, high-value and high-risk records.* * We regularly review our processes for documenting the details of permanent, high-value and high-risk records. * How we identify and document the details of permanent, high-value and high-risk records is being aligned across the agency. | * *We always or almost always document the details of permanent, high-value and high-risk records.* * We continuously review our processes for documenting the details of permanent, high-value and high-risk records. * How we identify and document the details of permanent, high-value and high-risk records is aligned across the agency. |
| * *We do not have or have limited visibility of our permanent, high-value and high-risk records.* * We rarely or do not have processes for actively maintaining visibility of permanent, high-value or high-risk records. | * *We have inconsistent visibility of our permanent, high-value or high-risk records.* * We are developing processes for actively maintaining visibility of permanent, high-value and high-risk records. * How we actively maintain visibility of permanent, high-value and high-risk records is not aligned across the agency. | * **We often actively maintain visibility of permanent, high-value and high-risk records in use (PR 4.3).** * We have developed and are implementing processes for actively maintaining visibility of permanent, high-value and high-risk records. * How we actively maintain visibility of permanent, high-value and high-risk records is being reviewed for alignment across the agency. | * *We usually actively maintain visibility of permanent, high-value and high-risk records.* * We regularly review our processes for actively maintaining visibility of permanent, high-value and high-risk records. * How we actively maintain visibility of permanent, high-value and high-risk records is being aligned across the agency. | * *We always or almost always actively maintain visibility of permanent, high-value and high-risk records.* * We continuously review our processes for actively maintaining visibility of permanent, high-value and high-risk records. * How we actively maintain visibility of permanent, high-value and high-risk records is aligned across the agency. |
| Our maturity level: | | |  | |

## 7.5 My agency makes records discoverable and accessible for use and reuse (Records governance policy - Policy requirement 5)

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Undeveloped** | **Developing** | **Acceptable** | **Managed** | **Embedded** |
| My agency rarely makes records discoverable or accessible for use or re-use. | My agency sometimes makes records discoverable and accessible for use and re-use. | My agency often makes records discoverable and accessible for use and re-use. | My agency usually makes records discoverable and accessible for use and re-use. | My agency always or almost always makes records discoverable and accessible for use and re-use. |
| * *Which business systems and applications keep records are not monitored or controlled.* * We do not have an approved list of business systems and applications that create and keep records. * We do not have criteria or processes for approving business systems or applications to create and keep records. * Agency areas always or almost always use different business systems and applications to create and keep the same records or same type of records. | * *We are determining what business systems and applications will be approved to create and keep records.* * We are developing criteria and processes for approving business systems and applications to create and keep records. * Agency areas usually use different business systems and applications to create and keep the same records or same type of records. | * **Records are often kept in approved business systems and applications (PR5.1).** * We have a list of business systems and application that are approved to create and keep records. * We have criteria and processes for approving business systems and applications to create and keep records. * We review the criteria and processes for approving business systems and applications to create and keep records when there is an external prompt. * Agency areas often use different business systems and applications to create and keep the same records or the same type of records. | * *Records are usually kept in approved business systems and applications.* * We regularly review the fitness-for-purpose of approved business systems and applications. * We regularly review the criteria and processes for approving business systems and applications to create and keep records. * Agency areas sometimes use different business systems and applications to create and keep the same records or same type of records. | * *All or almost all records are kept in approved business systems and applications.* * We continuously review the fitness-for-purpose of approved business systems and applications. * We continuously review the criteria and processes for approving business systems and applications to create and keep records. * Agency areas rarely or never use different business systems and applications to create and keep the same records or the same type of records. |
| * *Staff always or almost always have trouble accessing records promptly when needed.* * We do not have or have limited processes to support the discoverability and accessibility of records. | * *Staff usually have trouble accessing records promptly when needed.* * We are developing processes to support the discoverability and accessibility of records. * How we support the discoverability and accessibility of records is not aligned across the agency. | * **Staff can often discover and appropriately access records with confidence in sufficiency of search (PR5.2).** * We have developed and are implementing processes to support the discoverability and accessibility of records. * We review the processes that support the discoverability and accessibility of records when there is an external prompt. * How we support the discoverability and accessibility of records is being reviewed for alignment across the agency. | * *Staff can usually discover and appropriately access records with confidence in sufficiency of search.* * We regularly review the processes that support the discoverability and accessibility of records. * How we support the discoverability and accessibility of records is being aligned across the agency. | * *Staff can always or almost always discover and appropriately access records with confidence in sufficiency of search.* * We continuously review the processes that support the discoverability and accessibility of records. * How we support the discoverability and accessibility of records is aligned across the agency. |
| * *We do not monitor the health of our records or monitor them in an ad hoc fashion.* | * *We sometimes monitor the health of our records.* * We are developing processes for monitoring the health of our records. * We inconsistently review our processes for monitoring the health of our records. * How we monitor the health of records is not aligned across the agency. | * **We often actively monitor the health of records (PR5.3).** * We have developed and are implementing processes for monitoring the health of records. * We review our processes for monitoring the health of records when there is an external prompt. * How we monitor the health of records is being reviewed for alignment across the agency. | * *We usually actively monitor the health of records.* * We regularly review our processes for monitoring the health of records. * How we monitor the health of records is being aligned across the agency. | * *We always or almost always actively monitor the health of records.* * We continuously review our processes for monitoring the health of records. * How we monitor the health of records is aligned across the agency. |
| Our maturity level: | | |  | |

## 7.6 My agency disposes of records in a planned and authorised way (Records governance policy - Policy requirement 6)

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Undeveloped | Developing | Acceptable | Managed | Embedded |
| My agency rarely or does not dispose of records in a planned and authorised way. | My agency sometimes disposes of records in a planned and authorised way. | My agency often disposes of records in a planned and authorised way. | My agency usually disposes of records in a planned and authorised way. | My agency always or almost always disposes of records in a planned and authorised way. |
| * *We rarely or do not use the disposal authorities issued by the State Archivist.* * We do not know if we have records that are not covered by a disposal authority. * We rarely or never transfer inactive permanent records to QSA. * We dispose of records in an ad hoc manner or without a unifying goal or strategy. | * *We sometimes use the disposal authorities issued by the State Archivist*. * We are reviewing our records to determine which ones are covered by disposal authorities. * We do not dispose of records. | * **We use the disposal authorities issued by the State Archivist (PR6.1).** * We review our activities and the disposal authorities issued by the State Archivist when there is an external prompt. * We know which of our records are covered by disposal authorities and is actively addressing any gaps in coverage. * We occasionally dispose of records, often in response to storage or cost issues. | * *We regularly review our activities and the disposal authorities issued by the State Archivist.* * We regularly dispose of both physical and digital records based on risk-value assessments. | * *We continuously review our activities and the disposal authorities issued by the State Archivist.* * We regularly and systematically dispose of both physical and digital records based on risk-value assessments. |
| * *We do not have a disposal plan/s.* * We do not have a disposal plan or the plan we have does not cover all agency records. | * *We are developing a disposal plan/s with full coverage of all agency records.* * Our disposal plan/s are not aligned across the agency. | * **We have disposal plan/s covering endorsement, methods and frequency for all records (PR6.2).** * We review our disposal plan/s when there is an external prompt. * Our disposal plan/s are being reviewed for alignment across the agency. | * *We regularly review our disposal plan/s.* * Our disposal plan/s are being aligned and consolidated. | * *We continuously review our disposal plan.* * We have an agency-wide disposal plan. |
| * *We do not document records disposal or documents disposal in an ad hoc fashion.* | * *We sometimes document records disposal but there are significant gaps.* * We are developing processes to document the disposal of records. * How we document the disposal of records is not aligned across the agency. | * **My agency often documents the disposal of records (PR6.3).** * We have developed and are implementing processed to document the disposal of records. * We review how we document the disposal of records when there is an external prompt. * How we document the disposal of records is being reviewed for alignment across the agency. | * *We usually document the disposal of records.* * We regularly review the processes for documenting the disposal of records. * How we document the disposal of records is being aligned across the agency. | * *We always or almost always document the disposal of records.* * We continuously review the processes for documenting the disposal of records. * How we document the disposal of records is aligned across the agency. |
| Our maturity level: | | |  | |

## 7.7 Our overall maturity level

Choose the level that appears most appropriate for each Policy requirement given the examples provided. Once in place in the below table, the overall level of maturity is determined by the number of maturity levels most represented as in the example below.

For example:

|  |  |  |  |
| --- | --- | --- | --- |
|  |  |  | E.g. Undeveloped, developing, acceptable, managed or embedded. |
| Our maturity level in | *Ensuring records management is supported at all levels* | Is | Developing |
| *Systematically managing records using governance practices that are integrated and consistent with broader agency frameworks* | Acceptable |
| *Creating complete and reliable records* | Developing |
| *Actively managing permanent, high-value and high-risk records and information as a priority*  **Example** | Managed |
| *Making records discoverable and accessible for use and re-use* | Undeveloped |
| *Disposing of records in a planned and authorised way* | Managed |
| Overall level: | | | Developing/Acceptable |

|  |  |  |  |
| --- | --- | --- | --- |
|  |  |  | E.g. Undeveloped, developing, acceptable, managed or embedded. |
| Our maturity level in | *Ensuring records management is supported at all levels* | Is |  |
| *Systematically managing records using governance practices that are integrated and consistent with broader agency frameworks* |  |
| *Creating complete and reliable records* |  |
| *Actively managing permanent, high-value and high-risk records and information as a priority* |  |
| *Making records discoverable and accessible for use and re-use* |  |
| *Disposing of records in a planned and authorised way* |  |
| Overall level: | | |  |