



# Electronic Content Management (Records Management) Step Program

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# Session Today

Welcome

- ❖ Drivers – RM Compliance & VAGO /Ombudsman's Office , Legislation
- ❖ ECM Step Program – what is it?
- ❖ Benefits of Participation
- ❖ What are the Records Management issues that we are attempting to address?
- ❖ Our Approach
- ❖ Questions

# Drivers

The MAV and Councils have recognized the following 'drivers' as being of significance in the Records Management, FOI and

Privacy areas:

- ❖ The performance scorecards demonstrate the current low level of compliance by Councils and of the need for ongoing improvement. *In many cases this is explained by resourcing issues at Councils.*
- ❖ The VAGO report of 2008 into public sector records management (including local Government) concluded that:  
*Most agencies did not adopt a strategic approach to records management, which poses a significant organizational challenge...they have not established comprehensive frameworks to manage their records...more support is required from senior management*

# Drivers

- ❖ The Public Records Act is pending amended to include much stronger compliance requirements. Head of a Public Office is responsible for record management under the legislation.
- ❖ The Evidence Act has been changed and this will have significant implications for Councils in managing electronic records
- ❖ The PROV Standards have been completed and is expected to make significant changes which will impact on Councils (5 compliance measures 1997 – 214 in 2011)
- ❖ Amendments to FOI legislation and FOI Commissioner
- ❖ Amalgamation of the CLEDS and Privacy Commissioner pending

# Drivers

## *Record Keeping is about Governance*

*The Crimes Act 1958 s.254 creates an offence relating to the destruction of a document or other object that is reasonably likely to be required in evidence in a legal proceeding.*

*The Crimes Act 1958 s.254 specifies penalties for the offence, for both individuals and for corporate entities. For individuals, the penalty is a maximum of 5 years in prison or a fine of 600 penalty units (currently \$62,886). For corporations, it is a maximum fine of 3,000 penalty units (currently \$314,430).*

# ECM Step Program – Building Capability

The ECM Step Program incorporates an assessment of council's records management framework. The approach for the assessment entails:

- ❖ One half an hour presentation to your Management Team (morning)
- ❖ One cross functional team workshop to explore the identified records management findings, identify actions, assign responsibilities and timeframes.
- ❖ One half and hour session with your Management Team for a presentation on preliminary findings. (afternoon)

The ECM Program also includes:

- ❖ **Three capacity-building** workshops to address those service areas where Councils generally struggle to achieve compliance or effective records management.
- ❖ Access to the **ECM Local Government knowledge base** where council records management staff can share valuable resources to address areas of deficiency.
- ❖ Annual Conference. (additional cost)

# Benefits

## ECM STEP PROGRAM

**MANAGE**  
Background  
Case Studies  
Needs Analysis  
Benefits Map  
Vision  
Mission  
Participation

**CAPTURE**  
Background  
Case Studies  
Needs Analysis  
Benefits Map  
Vision  
Mission  
Participation

**STORE**  
Background  
Case Studies  
Needs Analysis  
Benefits Map  
Vision  
Mission  
Participation

**PRESERVE**  
Background  
Case Studies  
Needs Analysis  
Benefits Map  
Vision  
Mission  
Participation

**DELIVER**  
Background  
Case Studies  
Needs Analysis  
Benefits Map  
Vision  
Mission  
Participation

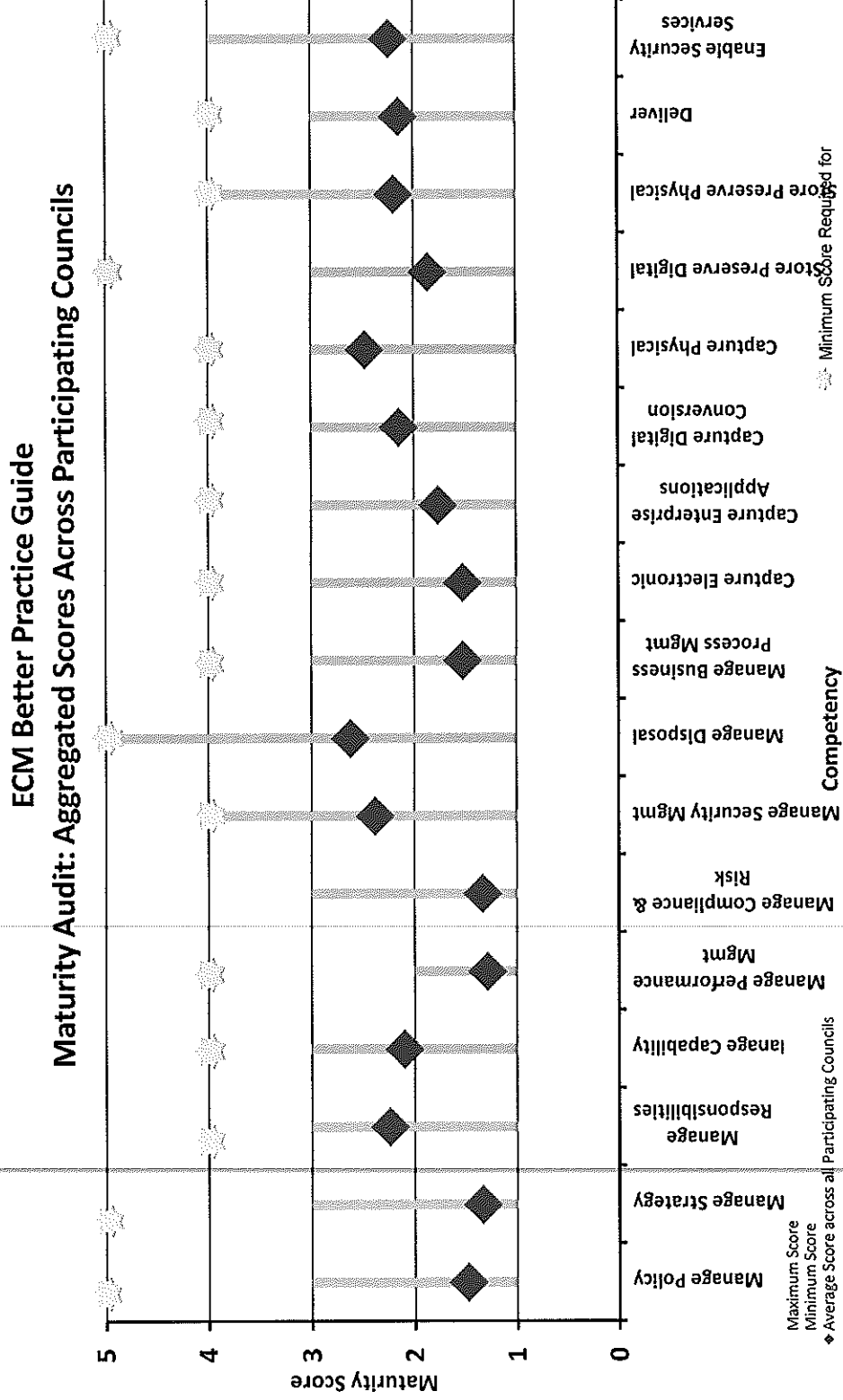
**ENABLE**  
Background  
Case Studies  
Needs Analysis  
Benefits Map  
Vision  
Mission  
Participation

**OTHER**  
Background  
Case Studies  
Needs Analysis  
Benefits Map  
Vision  
Mission  
Participation



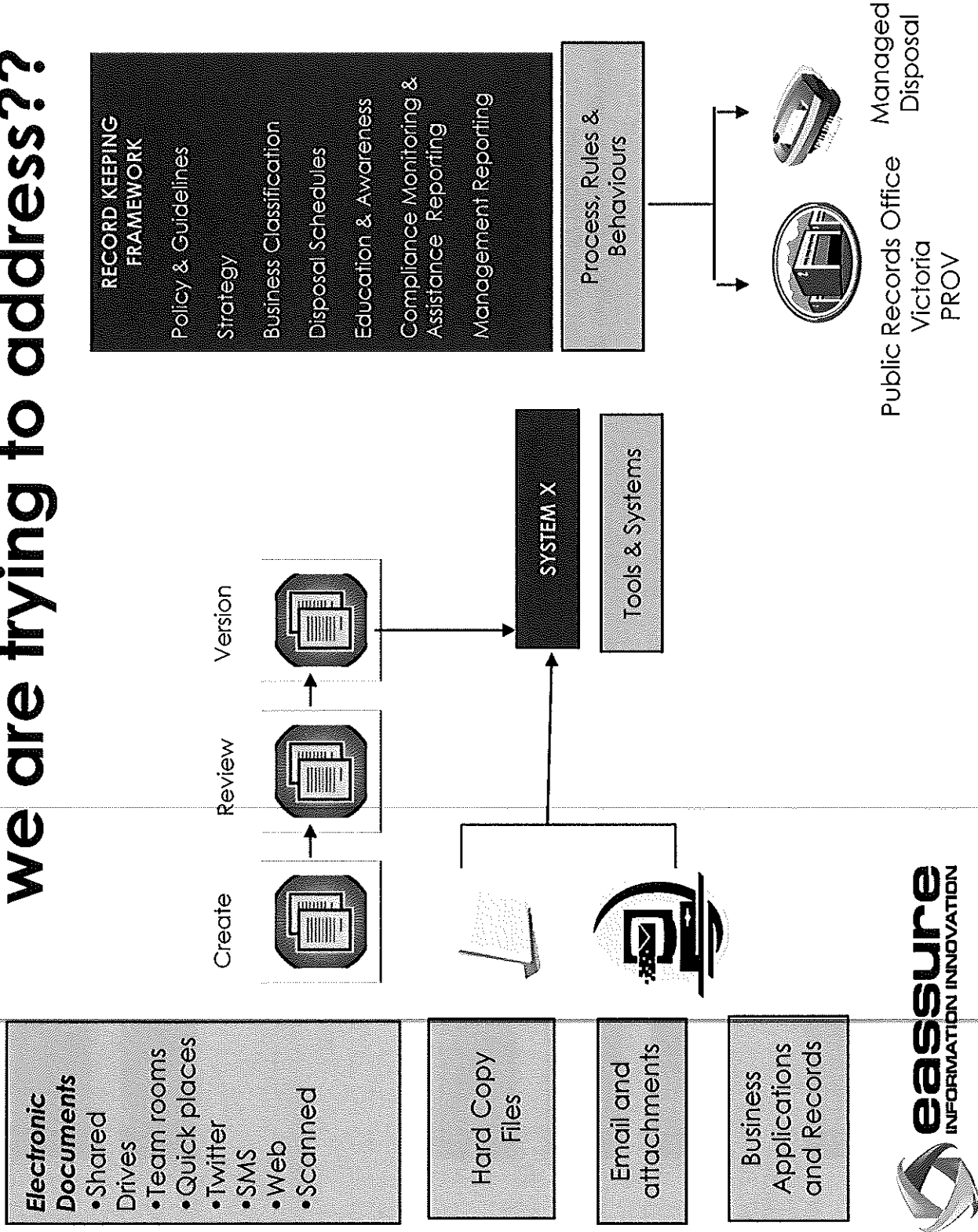
# ECM Better Practice Guide

## Maturity Findings





# What are the current RM issues that we are trying to address??



# Our Approach



<p><b>STEP ONE: Receipt of the Evidence Request</b> (2-3 weeks before the site visit by the lead auditor)</p>	<p>An evidence request (questionnaire) will sent to you via email using our system iappraise server.</p>
<p><b>STEP TWO : Completion of the Evidence Request</b> (2 weeks before the site visit)</p>	<p>Agency staff will be required to login to the system and answer a series of questions prior to the site visit and supply the evidence.</p>
<p><b>STEP THREE: Preliminary Assessment</b></p>	<p>Eassure staff will assess relevance of evidence provided by agency staff. Additional evidence may be requested to clarify responses.</p>
<p><b>STEP FOUR: Onsite Assessment</b></p>	<p>Presentation of the Records Management framework and process to CEO/ Management.                  In consultation with a cross functional team, Eassure (lead Assessor) will:</p> <ul style="list-style-type: none"> <li>• Validate Issues identified during the assessment process,</li> <li>• Identify the need for further evidence,</li> <li>• Collect and assess additional evidence.</li> <li>• Confirm and finalize findings,</li> <li>• Develop draft recommendations,</li> <li>• Obtain consensus on the maturity level allocation,</li> <li>• Assign staff responsibility for addressing gaps within agreed time frames.</li> </ul> <p>Presentation of the Records Management preliminary findings to CEO/ Management.</p>
<p><b>STEP FIVE: Draft Report</b></p>	<p>Eassure will develop and deliver a high level draft Assessment Report and issue to the client for feedback.</p>
<p><b>STEP SIX : Quality Assurance</b></p>	<p>Eassure will submit draft Assessment Report and Implementation Plan to eassure management for review.</p>
<p><b>STEP SEVEN: FINAL REPORT</b></p>	<p>Eassure will finalize the high level Assessment Report and Implementation Plan to client for feedback..</p>

Evidence Collection

Completion of Evidence Request

Evidence Assessment

Onsite Visit Assessment

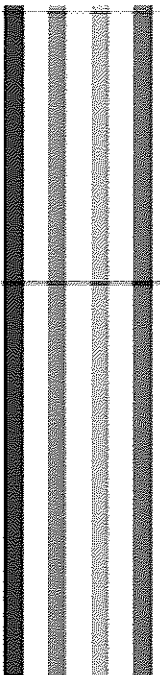
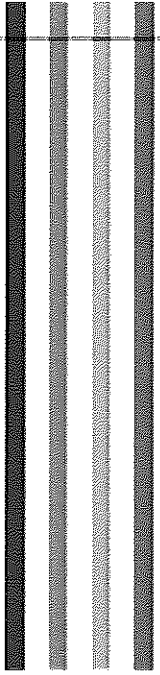
Draft Report

Quality Assurance

Final Report



# Questions ?



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