

# Senior Responsible Officer for records and information management

## Checklist

September 2023

The Senior Responsible Officer (SRO) is the individual within the organisation who has been assigned strategic and managerial responsibility for records and information management. The SRO is responsible for ensuring that records and information management is in place and operating effectively to support business operations and is usually a senior manager reporting to the head of the organisation or to the Chief Information Officer.

Please note: it is important that NSW State Archives and Records is advised of the organisation's senior responsible officer.

The purpose of this checklist is to guide the SRO in ensuring that their organisation has the required policies, infrastructure and resources for effective records and information strategies.

	Yes	No
<b>Policy, business rules and procedures</b>		
A current and comprehensive records and information management policy is in place which establishes the governance framework for records creation, capture, control, use, maintenance, and disposal. (See <a href="#">Records and information management policy checklist</a> for detailed information.)	<input type="checkbox"/>	<input type="checkbox"/>
The policy is adopted at the Senior Executive level e.g. signed by the CEO of the organisation.	<input type="checkbox"/>	<input type="checkbox"/>
The policy assigns responsibilities to the Senior Responsible Officer, the records and information management staff, and to the business owners and business units.	<input type="checkbox"/>	<input type="checkbox"/>
The policy defines the recordkeeping responsibilities of all staff and contractors.	<input type="checkbox"/>	<input type="checkbox"/>
The policy requires that records and information management is assessed and addressed in all outsourced, cloud and similar service arrangements.	<input type="checkbox"/>	<input type="checkbox"/>
The policy addresses the management and preservation of records and information in all formats, including digital and physical records.	<input type="checkbox"/>	<input type="checkbox"/>

	Yes	No
The policy is reviewed on a regular basis and that reviews take into account changes in business activities and priorities.	<input type="checkbox"/>	<input type="checkbox"/>
Business rules that include requirements for the creation, capture and management of records, are comprehensive, current, and reviewed regularly in line with business needs.	<input type="checkbox"/>	<input type="checkbox"/>
Where required, policies are supported by more detailed procedures.	<input type="checkbox"/>	<input type="checkbox"/>
<b>Strategy and planning</b>		
Strategy and plans are in place and include both objectives and performance targets for records and information management.	<input type="checkbox"/>	<input type="checkbox"/>
Strategies for records and information are adopted at the Senior Executive level e.g. signed by the CEO of the organisation.	<input type="checkbox"/>	<input type="checkbox"/>
Strategy and operational plans align records and information management with the corporate objectives and business activities of the organisation and support business operations.	<input type="checkbox"/>	<input type="checkbox"/>
Records and information management strategies and operational plans have adequate staffing, technology and resources, are efficient, and maximise the resources allocated to them.	<input type="checkbox"/>	<input type="checkbox"/>
Strategic and operational plans address the management of records and information in all formats, including digital and physical records.	<input type="checkbox"/>	<input type="checkbox"/>
Strategy addresses the management of records and information across all operating environments, diverse system environments and physical locations.	<input type="checkbox"/>	<input type="checkbox"/>
Strategy addresses the continuity of digital records and information, including the migration of records and information through system and service transitions.	<input type="checkbox"/>	<input type="checkbox"/>
<b>Staffing</b>		
Staff with appropriate records and information management skills to implement records and information management strategies and operations (in some cases this may mean having access to appropriate skills).	<input type="checkbox"/>	<input type="checkbox"/>
All staff receive training appropriate to their positions on recordkeeping and information on how to use tools/systems for recordkeeping.	<input type="checkbox"/>	<input type="checkbox"/>
	<input type="checkbox"/>	<input type="checkbox"/>

	Yes	No
Staff skills are kept up to date through training and professional development opportunities etc.		
<b>Implementation</b>		
Records and information management interests are represented on the executive and raised with senior management when relevant.	<input type="checkbox"/>	<input type="checkbox"/>
Opportunities to align records and information management with business processes and practices are identified and implemented.	<input type="checkbox"/>	<input type="checkbox"/>
Opportunities to encourage the organisation to value records and information as a strategic resource that is integral to good business are identified.	<input type="checkbox"/>	<input type="checkbox"/>
Regular liaison is undertaken with owners of business systems to ensure that records and information management are integrated into work processes, systems and services	<input type="checkbox"/>	<input type="checkbox"/>
Strategic partnerships with information management, technology and accountability stakeholders within the organisation are identified and collaboration is encouraged to meet common objectives.	<input type="checkbox"/>	<input type="checkbox"/>
Records and information required to meet or support business and recordkeeping requirements is identified.	<input type="checkbox"/>	<input type="checkbox"/>
Systems which hold high risk and/or high value records and information are identified.	<input type="checkbox"/>	<input type="checkbox"/>
Training and communications are implemented regularly to encourage managers and staff to use official recordkeeping systems and follow records and information management policies, business rules and procedures.	<input type="checkbox"/>	<input type="checkbox"/>
Information risks are identified, managed or mitigated.	<input type="checkbox"/>	<input type="checkbox"/>
Records and information are kept for as long as they are needed for business, legal requirements (including in accordance with current authorised records retention and disposal authorities), accountability, and community expectations.	<input type="checkbox"/>	<input type="checkbox"/>
Decommissioning of systems takes into account retention and disposal requirements for records and information held in the system.	<input type="checkbox"/>	<input type="checkbox"/>
Records and information are sentenced and disposed of according to current authorised retention and disposal authorities.	<input type="checkbox"/>	<input type="checkbox"/>
Records required as State archives are routinely transferred to NSW State Archives and Records when no longer in use for official purposes.	<input type="checkbox"/>	<input type="checkbox"/>

	Yes	No
<b>Monitoring</b>		
Records and information management is monitored and reviewed to ensure that it is implemented, accountable and meets business needs.	<input type="checkbox"/>	<input type="checkbox"/>
Records and information management is monitored regularly to ensure the public office is complying with the State Records Act and associated standards and codes of best practice.	<input type="checkbox"/>	<input type="checkbox"/>
Performance targets and indicators are regularly reviewed in strategies and planning documentation to ensure they are still relevant to operations and business objectives.	<input type="checkbox"/>	<input type="checkbox"/>
Systems are tested or audited to ensure that systems are operating routinely and that there are no issues affecting information integrity, useability or accessibility.	<input type="checkbox"/>	<input type="checkbox"/>
Opportunities are regularly identified for improving the effectiveness, efficiency and quality of records and information management systems, processes and tools.	<input type="checkbox"/>	<input type="checkbox"/>
The organisation cooperates and liaises with NSW State Archives and Records in relation to monitoring compliance.	<input type="checkbox"/>	<input type="checkbox"/>