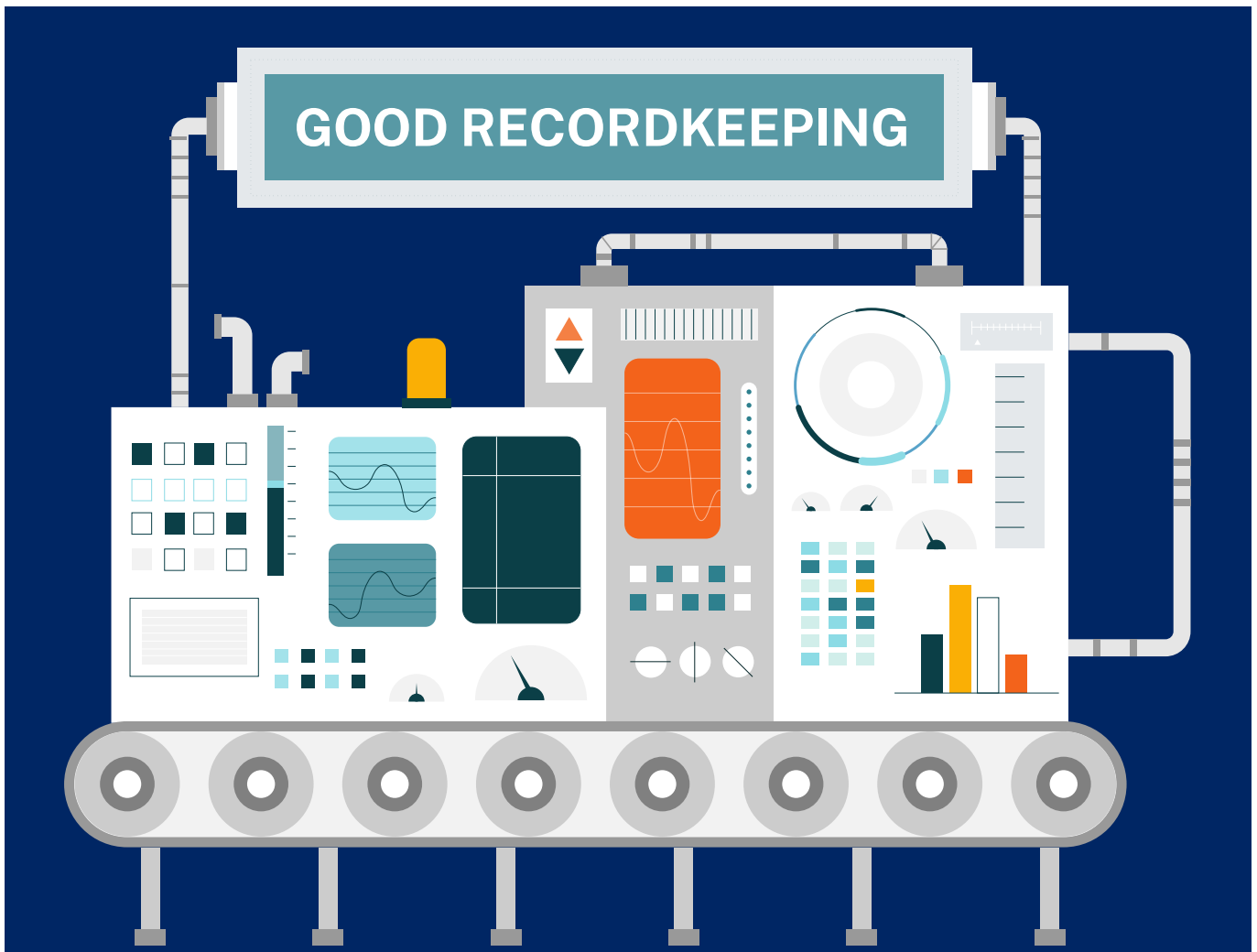


State of recordkeeping in NSW

Whole of government report

September 2023



Acknowledgement of Country

State Records NSW acknowledges the Traditional Custodians of the lands where we work and live. We celebrate the diversity of Aboriginal peoples and their ongoing cultures and connections to the lands and waters of NSW.

We pay our respects to Elders past, present and emerging and acknowledge the Aboriginal and Torres Strait Islander people that contributed to the development of this report.

State of recordkeeping in NSW

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A note on presentation of results

This report presents the results of the 2023 Recordkeeping Monitoring Exercise which was conducted with public offices during March and April 2023. Comparisons with the 2022 Recordkeeping Monitoring Exercise are presented where appropriate. Percentages are based on the total number of responses received for each question.

Acknowledgements

We would like to thank public offices for their cooperation and participation in this year's monitoring exercise.

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Executive Summary

State Records NSW conducted its second annual Recordkeeping Monitoring Exercise in 2023. The Exercise requested public offices in NSW to assess and rate the maturity of their recordkeeping.

Key findings:

- **278** public offices **participated** in the Exercise in 2023, up from **247** in 2022.
- This represents a **response rate** of **74%** in 2023, up from **65%** in 2022. Those who did not submit are listed at *Appendix A*.
- **38%** of *participating public offices* in 2023 have scores which identify them as **'mature'** in their records management, up from **30%** in 2022.
- In 2023, the overall records management **maturity score** is **2.79 out of 5**, up from **2.67** in 2022.
- **Five** assessment questions are now **above baseline compliance** (Question 3 on Senior Responsible Officer for records management, Question 10 on Security & Protection of records, Question 14 on Systems Design, Question 15 on Create, Collect, Capture, and Question 16 on Storage of records).
- The **three lowest scoring** assessment questions are Question 8 on Outsourcing & contracts, Question 9 on Performance monitoring, and Question 18 on Transfer to the State Archives Collection.

We will use the results of this year's Recordkeeping Monitoring Exercise and the extensive comments provided by public offices to prioritise our efforts for assistance and guidance during the 2023-2024 financial year.

Martyn Killion
Executive Director, State Records NSW

1 Recordkeeping Monitoring Exercise 2023

State Records NSW conducts an annual Recordkeeping Monitoring Exercise with public offices. The authority for this monitoring exercise is section 12(4) of the *State Records Act 1998* which requires each public office to report on its records management program in accordance with arrangements made with the Authority.

Public offices are asked to make self-assessments using the *Records Management Assessment Tool (RMAT)* and then provide these assessments to State Records NSW via the Service Portal (available from <https://staterecords.nsw.gov.au>). Public offices are also given the option to provide comments and advise on the evidence used to support their self-assessment.

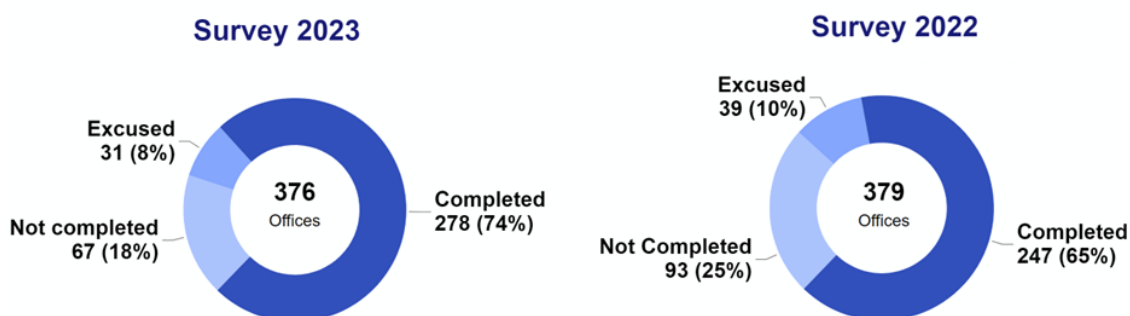
The RMAT consists of 19 questions covering all the obligations contained in the *State Records Act 1998*, the *Standard on records management*, and the *Standard on physical storage of State records*. Questions are grouped into three topic categories: People & Governance, Systems & Business, and Information Management. Public offices determine which level of the maturity scale has been achieved and ensure that the selection of the maturity level is supported by appropriate evidence.

Each level of the maturity scale is scored, which enables the results of the assessment to be presented as a numerical outcome, with each public office being provided with an overall score out of 5 for their maturity and compliance. Following is further information on the maturity scale.

Level	Maturity	Description
Level 1 = 1 point	'Initial' level of maturity	<i>Records management processes are non-existent or ad hoc and there is no organisational oversight.</i>
Level 2 = 2 points	'Developing' level of maturity	<i>Records management processes are becoming refined and repeatable but only within individual projects or teams; no organisational standards.</i>
Level 3 = 3 points	'Defined' level of maturity	<i>Records management processes are standardised and based on best practice. This also represents baseline compliance with State Records NSW requirements.</i>
Level 4 = 4 points	'Managed' level of maturity	<i>The organisation has widely adopted standard processes and is monitoring with defined metrics.</i>
Level 5 = 5 points	'Optimising' level of maturity	<i>The organisation is optimising, refining and using innovation in records management to increase efficiency within the organisation.</i>

1.1 Participation in the Monitoring Exercise

We requested 376 public offices to provide a submission during the reporting period of 1–31 March 2023. Of these, 278 public offices made submissions (a 74% response rate). This is an increase from 247 submissions (a 65% response rate) for the 2022 Recordkeeping Monitoring Exercise.



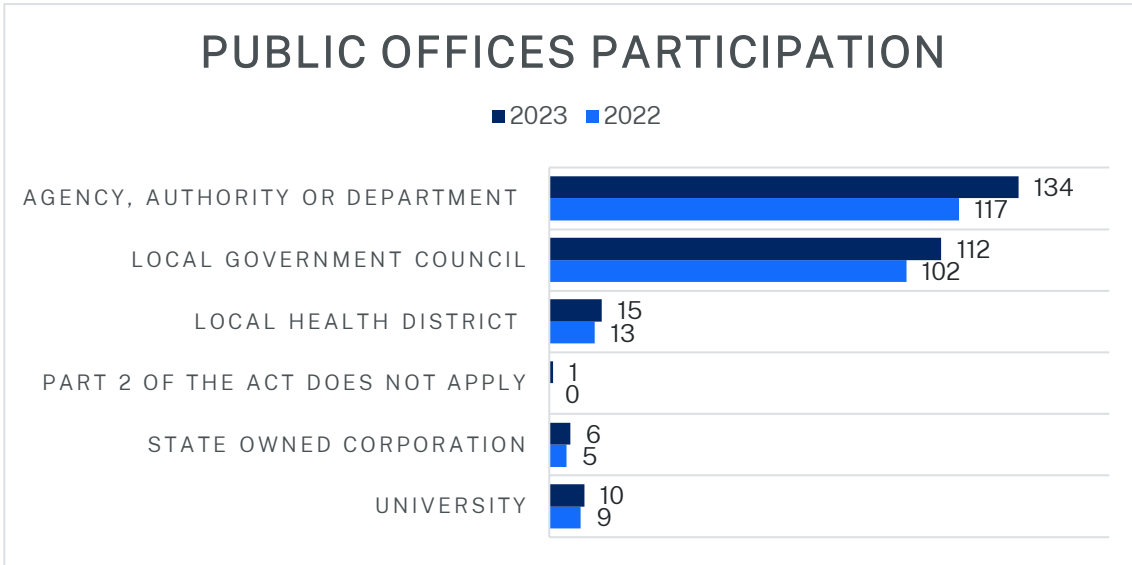
We did not receive responses from 67 public offices (18% of the jurisdiction). This result is lower than the number of public offices who did not respond to the request for an assessment in 2022 (93 public offices or 25% of the jurisdiction). **Appendix A** of this Report lists the public offices who did not respond to the 2023 Recordkeeping Monitoring Exercise.

As was the case in 2022, a number of public offices were excused from the Recordkeeping Monitoring Exercise for the following reasons:

- Part 2 of the State Records Act does not apply to the public office
- public office is an intergovernmental body
- public office is in the process of being privatised
- a newly identified public office, or
- the public office made a specific request to State Records NSW to be excused.

We received responses from:

- 134 Agencies, Authorities or Departments (up from 117 in 2022)
- 112 Local Government Councils (up from 102 in 2022)
- 15 Local Health Districts or health networks (up from 13 in 2022)
- 1 public office excused from Part 2 of the State Records Act.
- 6 State Owned Corporations (up from 5 in 2022)
- 10 Universities (up from 9 in 2022)



1.2 2022 data

In our work since the 2022 Recordkeeping Monitoring Exercise we have observed some minor discrepancies in the 2022 data.

This was evident in the reporting of how many public offices were ‘mature’ in their records management, the reporting on the three RMA categories, and the overall maturity score for each public office type of the jurisdiction. The discrepancies have been resolved.

2 How well is the jurisdiction performing?

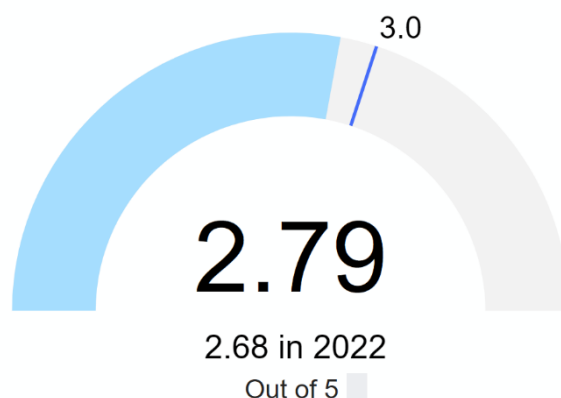
The results of this year’s Monitoring Exercise provide State Records NSW with a second year of data and further understandings of records management maturity and compliance across the jurisdiction of the *State Records Act 1998*.

The monitoring exercise has identified that the jurisdiction of the *State Records Act 1998* has made improvements in its records management maturity.

The 2023 overall records management maturity score for 2023 is **2.79 out of 5**. While this is still below the level of compliance with the State Records Act (baseline compliance is **3 out of 5**), this is an increase to the 2022 overall records management maturity score of **2.67 out of 5**. Based on the high response rate, the results of the Recordkeeping Monitoring Exercise can be extrapolated across all public offices and is indicative of the baseline of records management maturity and compliance in the NSW Public Sector.

This year’s results also indicate that more public offices are ‘mature’ in their records management.

Current Year - Overall Maturity Score



In 2023, 38% of *participating public offices* can be identified as ‘mature’ in their records management (achieving a total records management maturity score of 3 out of 5 or above; see Levels 3 and 4 below), this is up from 30% of *public offices participating* in the 2022 monitoring exercise.

The results also reveal that the number of public offices scoring an ‘initial’ overall maturity score (1 out of 5, see Level 1 below) has decreased. A number of public offices have moved up to the ‘developing’ maturity category (2 out of 5, see Level 2 below).

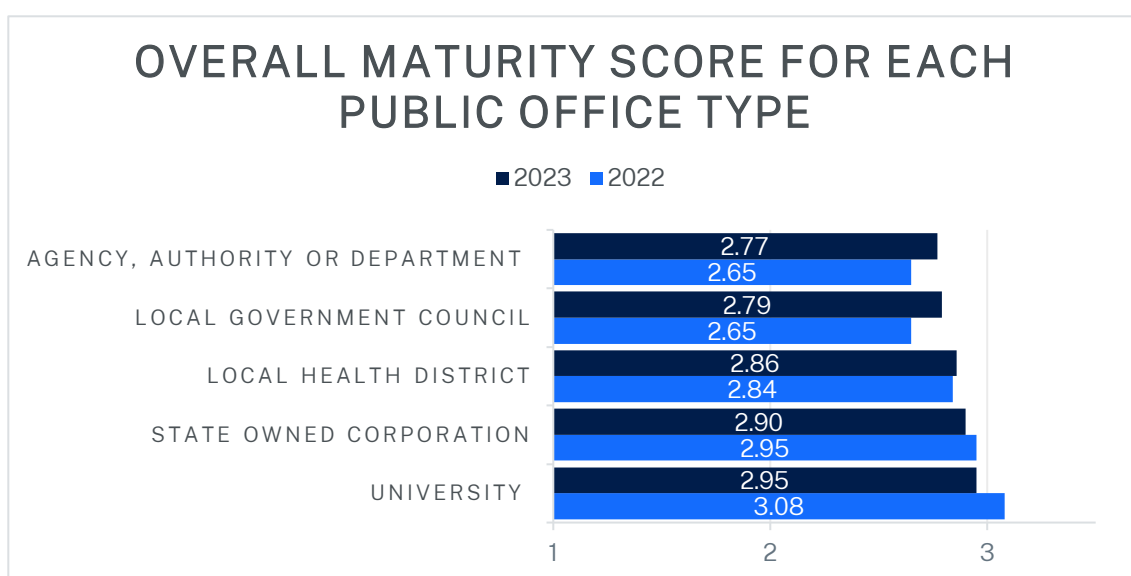
Year	Level 1 Initial maturity	Level 2 Developing maturity	Level 3 Defined or ‘mature’	Level 4 Managed	Level 5 Optimising
2023	20	153	97	8	
2022	34	140	65	8	

There have also been improvements in the overall maturity score for several public office types of the jurisdiction, with the Agencies, Authorities, Departments, Local Government councils and Local Health Districts public office types all improving on their 2022 maturity scores.

Overall maturity score by public office types of the jurisdiction of the *State Records Act 1998*:

- Agency, Authority or Department: **2.77 out of 5** (up from 2.65)
- Local Government Council: **2.79 out of 5** (up from 2.65)
- Local Health District: **2.86 out of 5** (up from 2.84)
- State Owned Corporation: **2.90 out of 5** (down from 2.95)
- University: **2.95 out of 5** (down from 3.08).

The following graph shows the overall maturity score for each public office type.



Distribution of average scores for all public offices

It is clear from this year's data that there have been some corrections made in the self-assessments. Anecdotal evidence suggests that some corrections have occurred as public offices re-evaluated their scores from 2022 and then rated themselves more accurately in 2023.

In our review of comments received from public offices as part of the self-assessment, we noted that many public offices understand the requirements of the questions, however there were some responses which indicated that there was less familiarity with the technical requirements. We will address these areas with further guidance to assist public offices in their understandings of the technical requirements.

The increased number of responses in some public office types has likely also had an impact on the overall scores, such as the overall maturity score for universities dropping this year, which could be attributed to more universities participating in the monitoring exercise and the averaging of scores across 10 responses rather than a smaller number in the previous year.

In addition to the overall maturity for each question, we have gained further understandings of performance by looking at the range of responses for each question.

It is evident from the review of the range of responses that there are some questions where a considerable number of public offices are not compliant (scoring a Level 1 or a Level 2). These are reported in the “Results of each question” section below. We will be looking at how we can assist public offices to improve their compliance in a number of the questions.

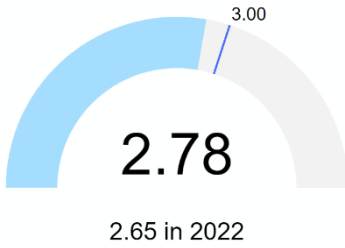
The Recordkeeping Monitoring Exercise is now an annual monitoring activity and the next exercise will be conducted in March 2024. We will compare data from the 2024, 2023 and 2022 monitoring exercises to determine if there has been any change. Over time, we anticipate that there will be further improvements in maturity and compliance.

3 Results of each RMAT category

The RMAT is divided into three topic categories: People & Governance, Systems & Business, and Information Management. Looking at the scores for the three categories provides an insight at public office capability. The results for 2023 show the total average score for each category and identify that there has been an improvement for each category.

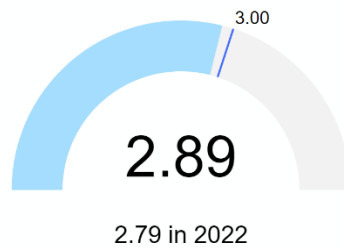
People & Governance

Current Year - Overall Performance



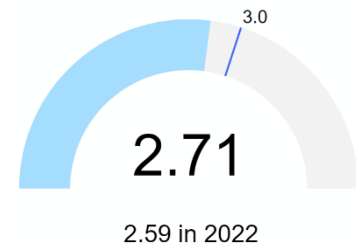
Systems & Business

Current Year - Overall Performance



Information Management

Current Year - Overall Performance



3.1 People & Governance

Questions 1 – 9 of the RMAT

The total average score for all public offices responses to People & Governance was **2.78 out of 5** (baseline compliance is 3 out of 5).

This category covers the frameworks to manage records and information management. It includes identifying and prioritising High Risk/High Value records, managing information risks, records management governance (policy,

strategic planning, responsibilities, capability and capacity to support records management), and monitoring of records and information management in the organisation.

A comparison of the public office types indicates that the State Owned Corporations and the Universities are either compliant or close to compliance with this category.

3.2 Systems & Business

Questions 10 – 14 of the RMAT

The total average score for all public offices responses to Systems & Business was **2.89 out of 5** (baseline compliance is 3 out of 5).

This category brings together four areas of records management covering the security and protection of records, information accessibility/discoverability/use and re-use, managing records to ensure that they are

reliable and trustworthy, and addressing records and information management requirements in design and management of IT systems or services.

A comparison of the public office types indicates that the Universities are compliant with this category, and all other public office types are close to compliance.

3.3 Information Management

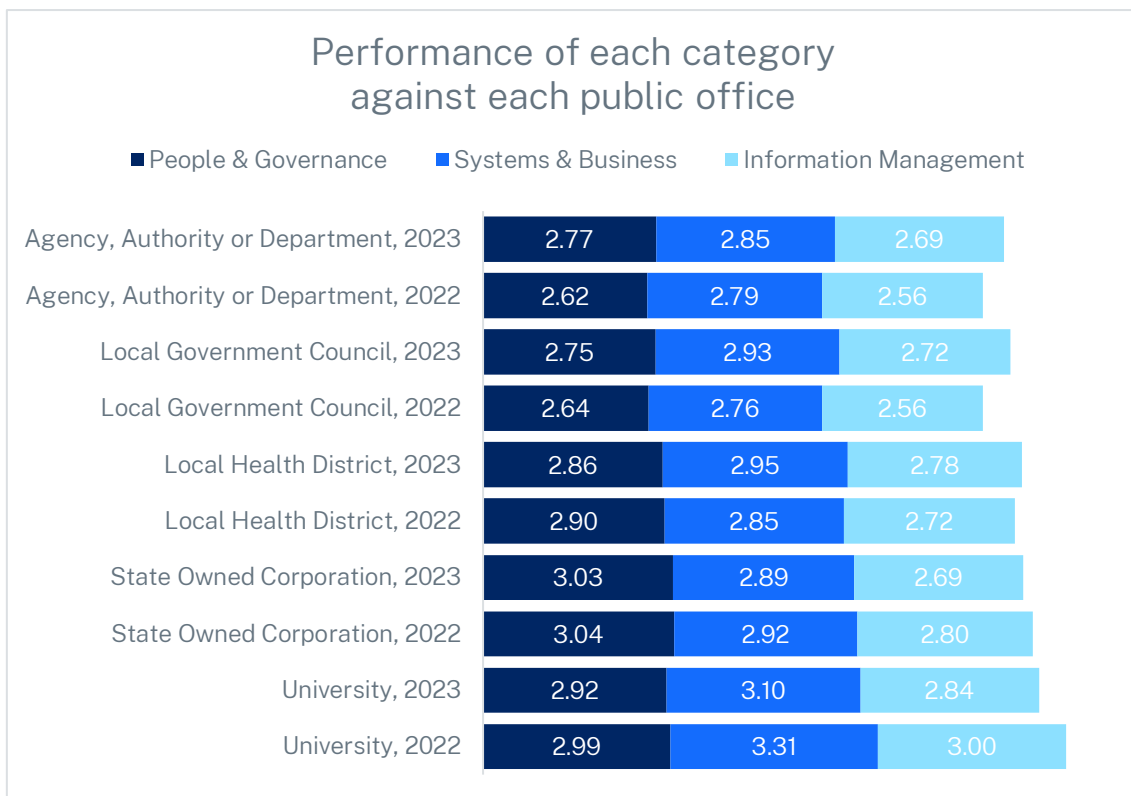
Questions 15 – 19 of the RMAT

The total average score for all public offices responses to Information Management was **2.71 out of 5** (baseline compliance is 3 out of 5).

This category explores how well public offices are managing the creation, collection and

capture of records, records storage, the retention and disposal of records, records transfer to the State Archives Collection, and the making of Access Directions. A comparison of the public office types indicates that only the Universities are close to compliance.

The graph below shows a comparison of the performance of each public office type in the RMAT categories:









4 Results of each question

The figure below shows the overall average score for each question. There have been improvements for the average score for most questions.

Overall performance of public offices against each question

	RMAT 2023	RMAT 2022
Q1 Score	2.85	2.81
Q2 Score	2.97	2.84
Q3 Score	3.00	2.87
Q4 Score	2.63	2.54
Q5 Score	2.95	2.83
Q6 Score	2.72	2.62
Q7 Score	2.94	2.74
Q8 Score	2.46	2.36
Q9 Score	2.46	2.26
Q10 Score	3.01	2.99
Q11 Score	2.83	2.74
Q12 Score	2.72	2.60
Q13 Score	2.82	2.80
Q14 Score	3.08	2.92
Q15 Score	3.19	3.06
Q16 Score	3.07	3.08
Q17 Score	2.55	2.53
Q18 Score	2.26	2.15
Q19 Score	2.47	2.22

Lowest maturity levels		Highest maturity levels	
Transfer (Question 18)		Create, collect and capture (Question 15)	
Outsourcing and contracts (Question 8)		Systems design (Question 14)	
Performance monitoring (Question 9)		Storage (Question 16)	

In 2023 the average score for most questions has improved. Additionally, five RMAT questions are now above the baseline compliance score of 3 (Question 3 on Senior Responsible Officer for records management, Question 10 on Security & Protection of records, Question 14 on Systems Design, Question 15 on Create, Collect, Capture, and Question 16 on Storage of records). Many other questions are close to achieving baseline compliance.

In reporting on the 2022 Recordkeeping Monitoring Exercise, the lowest overall maturity scores for 2022 were for Question 9 on Performance Monitoring, Question 18 on State archives transfer, and Question 19 on Access Directions. While the results for these three questions have improved, there is still more work required to increase these results to baseline compliance:

- Question 9 on Performance Monitoring has increased from a score of **2.26** to **2.46**
- Question 18 on State archives transfer has increased from a score of **2.15** to **2.26**
- Question 19 on Access Directions has increased from a score of **2.22** to **2.47**

In addition to the overall maturity for each question, we have gained further understandings of performance by looking at the range of response scores for each question. This review of response scores has identified that there are some questions where a considerable number of public offices are not compliant (scoring a Level 1 or a Level 2).

In addition to reviewing the results of each question, we also reviewed the comments made by public offices in order to identify challenges or barriers for public offices.

The information gathered from the results and comments will assist State Records NSW to identify and plan for further guidance and advice in FY 2023-2024.

It is likely that results for Questions 18 and 19 will continue to improve in the 2024 Recordkeeping Monitoring Exercise due to the implementation of the legislative changes for transfer planning and access directions, development of new tools for public offices, and the work being undertaken by Museums of History NSW (MHNSW) to support public offices in developing transfer plans and making access directions.

The scorecards for each question, see pages 15-52, provide further understandings on the total average score for each question, how each public office type of the jurisdiction is performing for each question, the range of response scores for each question, and a selection of comments received for each question.

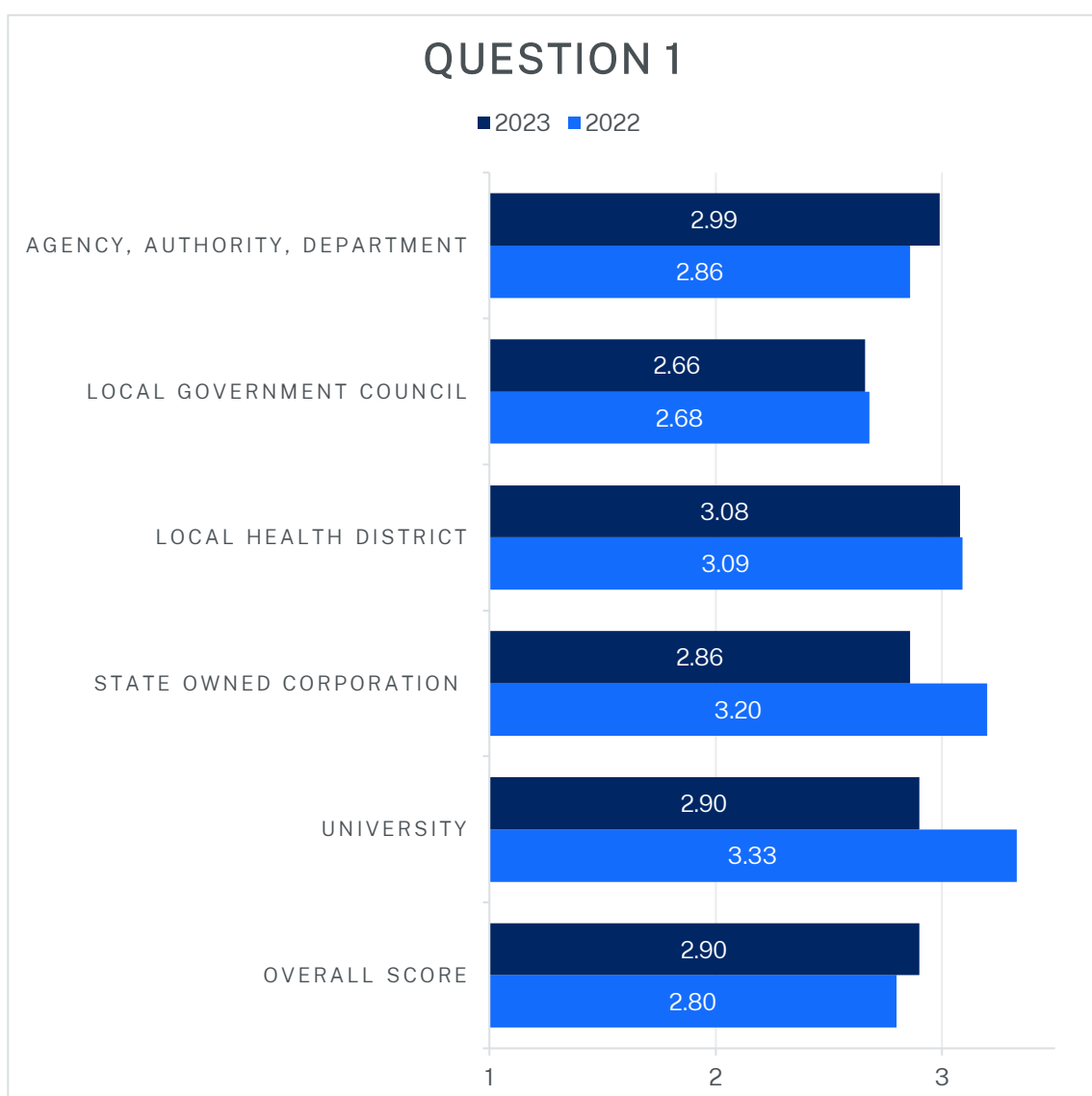
4.1 Question 1 – High Risk/High Value Business and Systems

This question asks about the identification of high risk and high value areas of business and the systems, records and information needed to support these business areas.

High risk business areas in each public office should be priorities for records and information management activity, to ensure that these records are created, captured, well managed and are allocated appropriate resources and strategies.

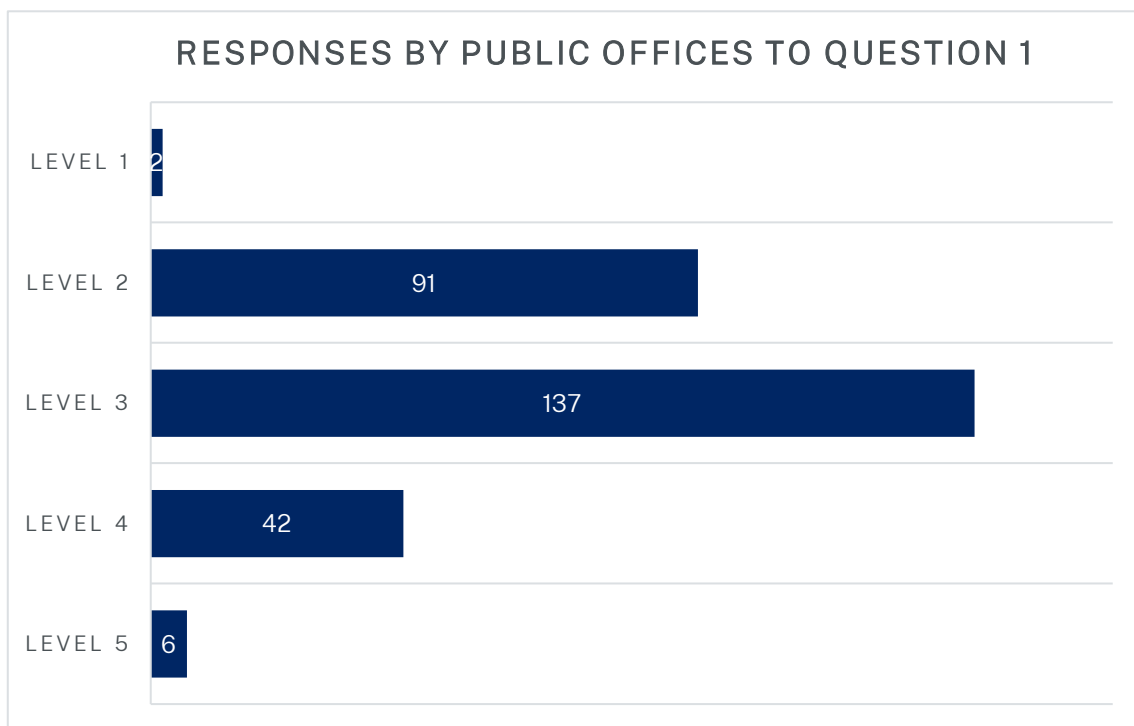
The overall total score for this question has improved from **2.8** in 2022 to **2.9** in 2023.

Local Health Districts are compliant with this question, and the Agency, Authority, Department and University public office types are close to compliant.



Level of compliance (based on responses to question)	Percentage	Number
Public offices compliant with requirements of question	67%	185
Public offices not compliant with requirements of question	33%	93
Total	100%	278

The table above shows the level of compliance while the graph below shows the how public offices responded to the question.



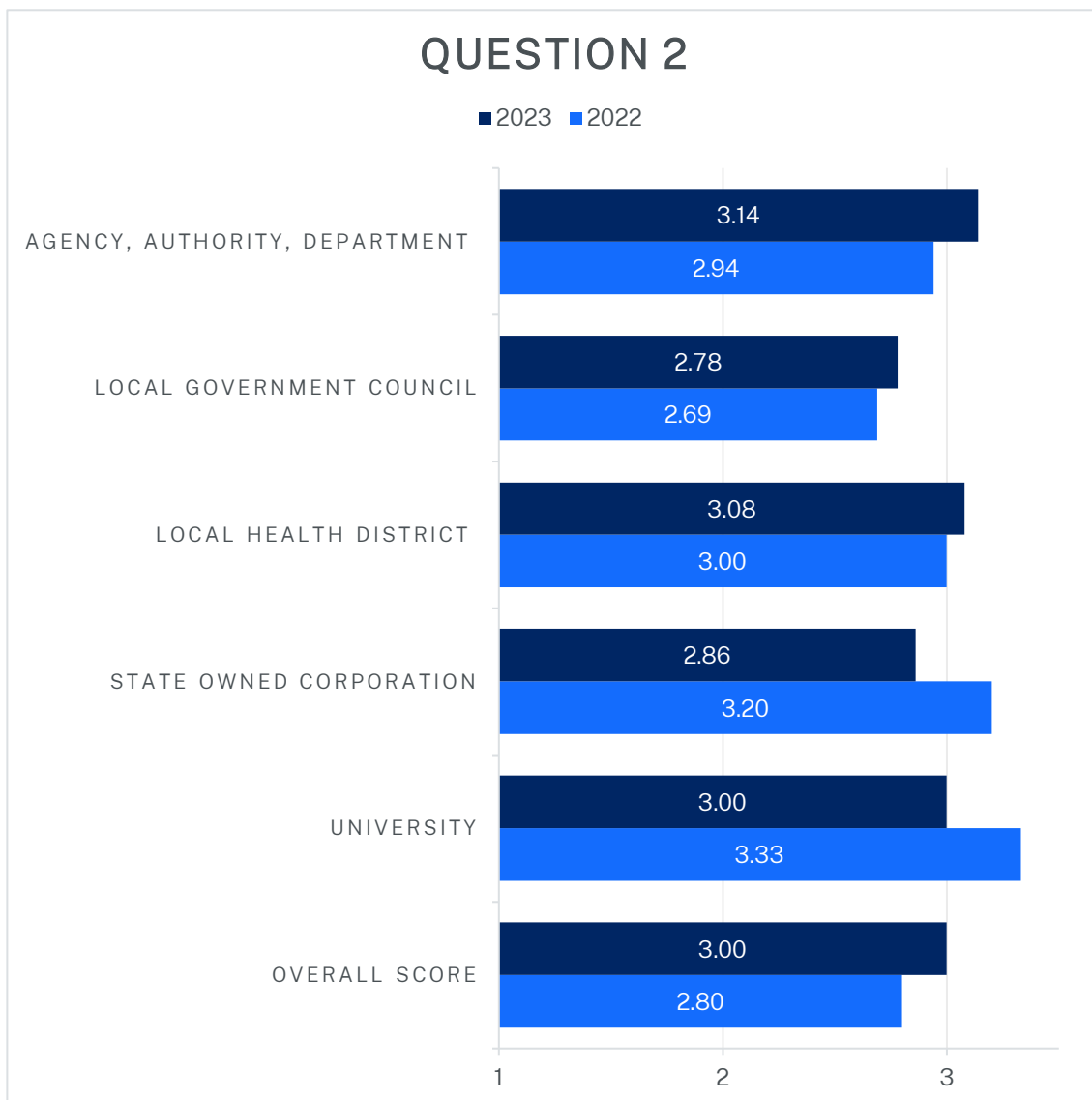
Comments received for this question advised that:

- many public offices are working to identify high risk/high value records and build information asset registers
- there is recognition of the relationship between identification of high risk/high value records and registers of 'crown jewels' required for cyber security attestation, and
- many public offices have put measures in place to protect the high risk/high value records.

The comments also highlighted challenges for public offices in progressing a single view of the high risk/high value records and that records and information management areas often lack visibility of high risk/high value systems and records.

4.2 Question 2 – Information Risk

This question asks about identifying and addressing information risks that could impact high risk and high value areas of business.



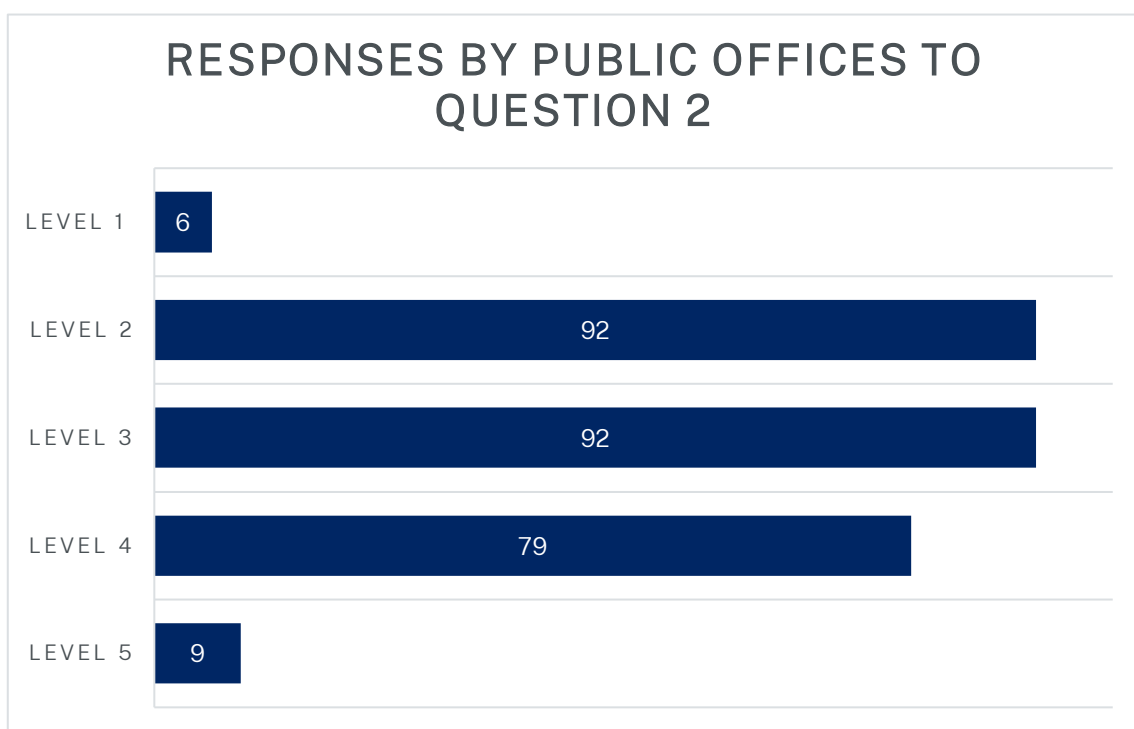
Information risks are related to but distinct from technology risks. Mitigating information risks includes (but is not limited to) protecting records and information from loss, unauthorised access, alteration, and disaster through implementing security measures and business continuity plans.

The overall total score for this question has improved from **2.8** in 2022 to **3** in 2023.

Agency, Authority, Department, University and Local Health District public office types are compliant with this question.

Level of compliance (based on responses to question)	Percentage	Number
Public offices compliant with requirements of question	65%	180
Public offices not compliant with requirements of question	35%	98
Total	100%	278

The table above shows the level of compliance while the graph below shows the how public offices responded to the question

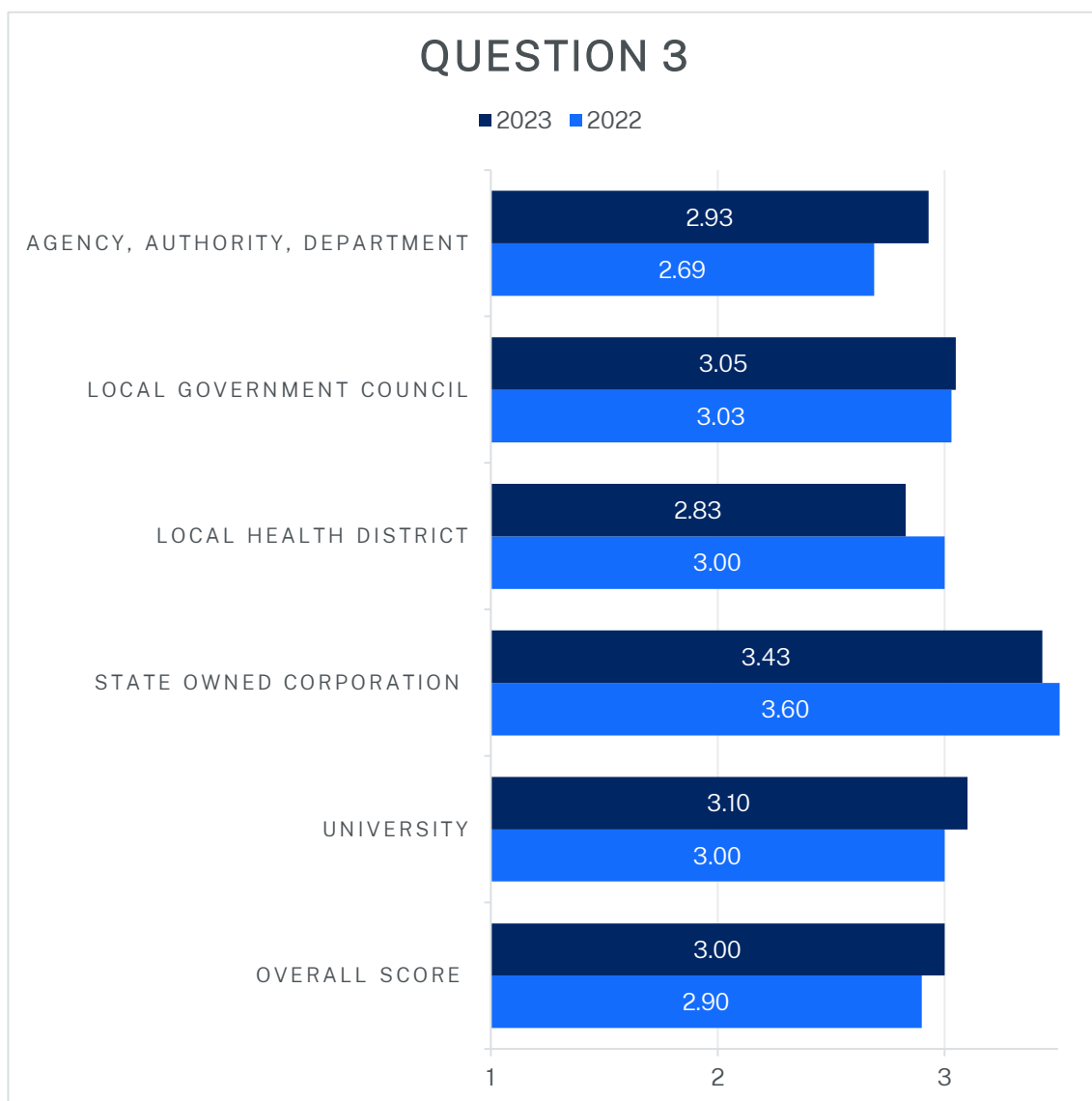


Comments received for this question advised that:

- many public offices are actively identifying and managing information risks, while other public offices are still initiating this work, or have only identified risks to 'crown jewels' or high risk/high value records
- some public offices have integrated information risk registers into the main organisational or enterprise risk register or frameworks so that information risks are addressed at an organisational level and there is organisational visibility of the risks
- some public offices are addressing information risk as part of their cyber security initiatives or as part of their ICT risk initiatives
- many public offices have put controls and measures in place to address information risks.

4.3 Question 3 – Senior Responsible Officer

This question asks if records and information management is the responsibility of senior management, who provide direction and support, in accordance with business requirements, relevant laws and regulations. The question relates to the organisation’s Senior Responsible Officer or SRO.



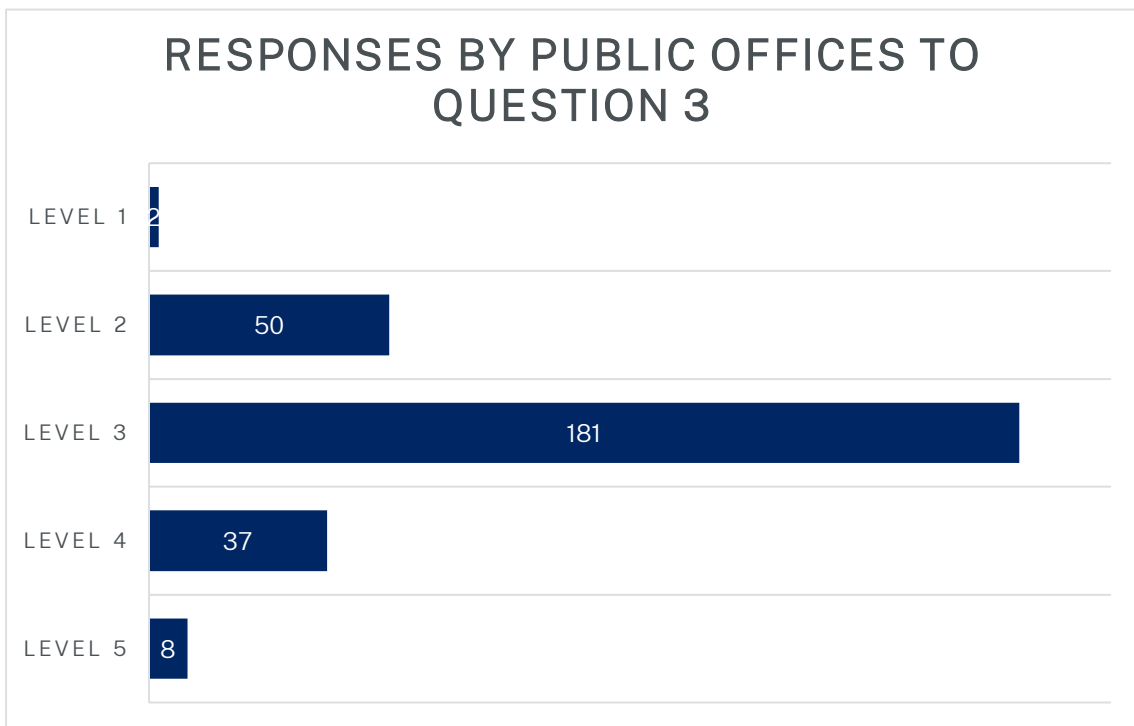
Ultimate responsibility for records management lies with the Chief Executive and senior management, who provide direction and support for records and information management in the public office and ensure that it conforms to business requirements and relevant laws and regulations. The Senior Responsible Officer or SRO role provides oversight of records and information management within the public office.

The overall total score for this question has improved from **2.9** in 2022 to **3** in 2023.

Local Government Council, University, and State Owned Corporation public office types are compliant with this question. The Agency, Authority, Department public office type is close to compliant.

Level of compliance (based on responses to question)	Percentage	Number
Public offices compliant with requirements of question	81%	226
Public offices not compliant with requirements of question	19%	52
Total	100%	278

The table above shows the level of compliance while the graph below shows the how public offices responded to the question.

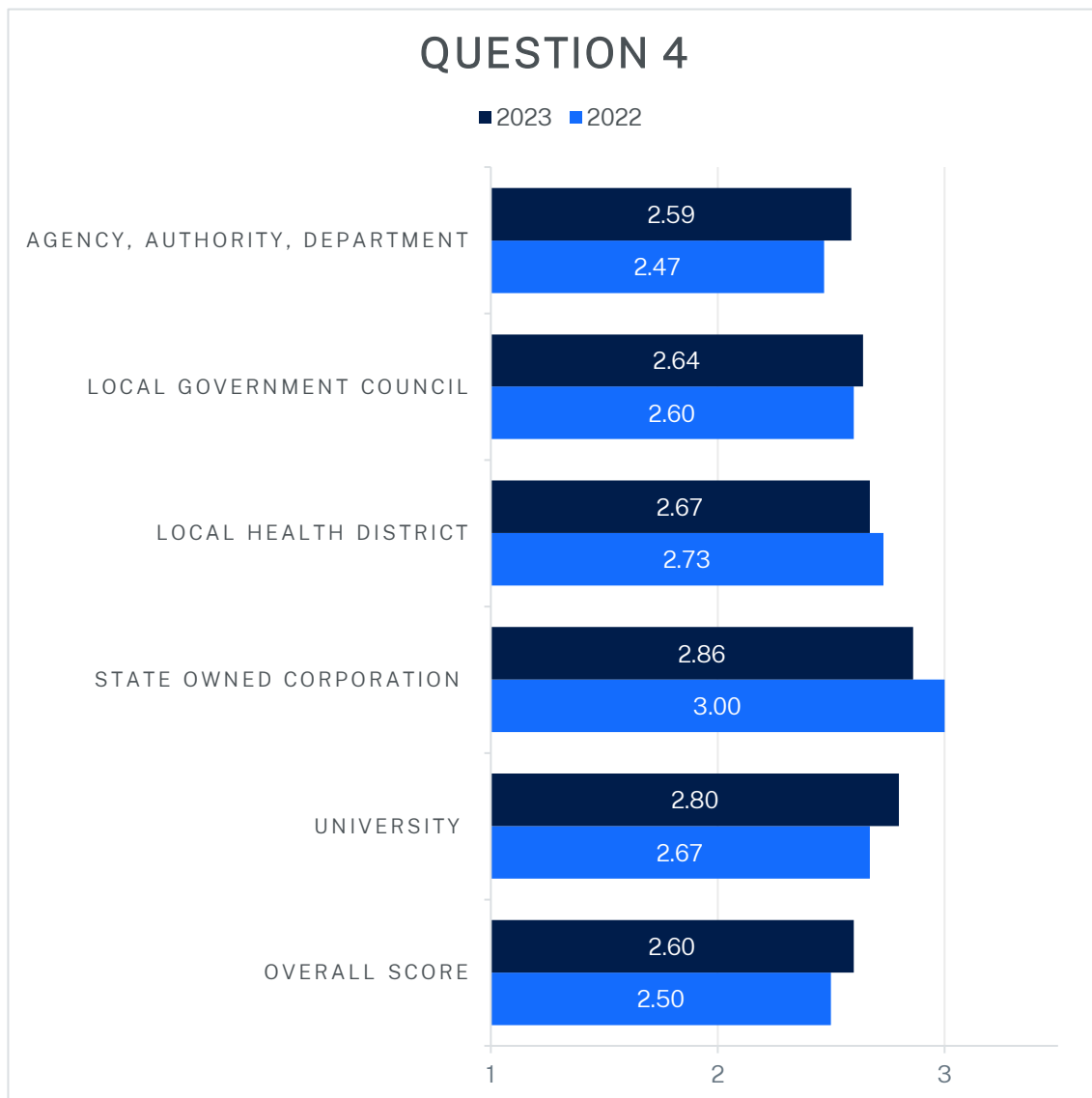


Comments received for this question advised that:

- many public offices demonstrated that responsibility for records management had been delegated to a senior manager
- some public offices indicated that they were still delegating responsibilities for the SRO
- some public offices are using education strategies to improve the knowledge and understandings of the public office's SRO
- a number of public offices have put information governance frameworks or information governance committees in place to support recordkeeping in the public office.

4.4 Question 4 – Records & Information Strategy

This question asks if there is a defined strategic direction for records and information management, aligned with the goals of the broader organisational strategy.



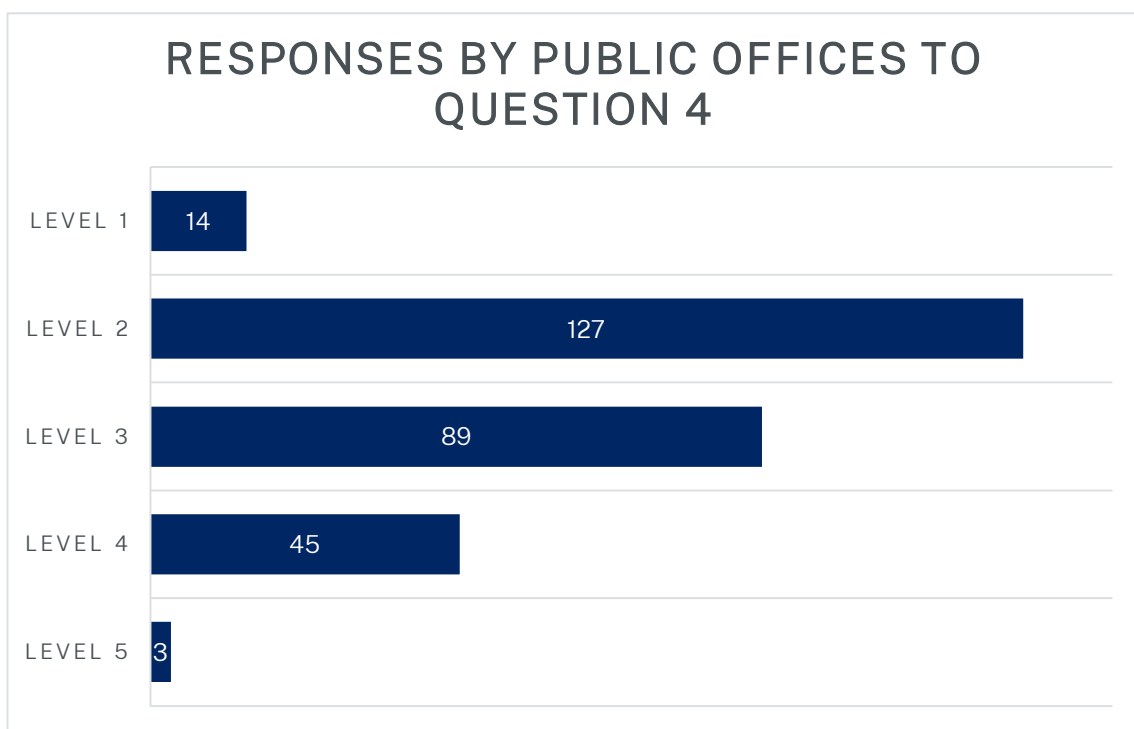
Governance frameworks, including high level policy and strategy are critical to the achievement of good records management.

The overall total score for this question has improved from **2.5** in 2022 to **2.6** in 2023.

No public office types are compliant with this question.

Level of compliance (based on responses to question)	Percentage	Number
Public offices compliant with requirements of question	49%	137
Public offices not compliant with requirements of question	51%	141
Total	100%	278

The table above shows the level of compliance while the graph below shows the how public offices responded to the question.

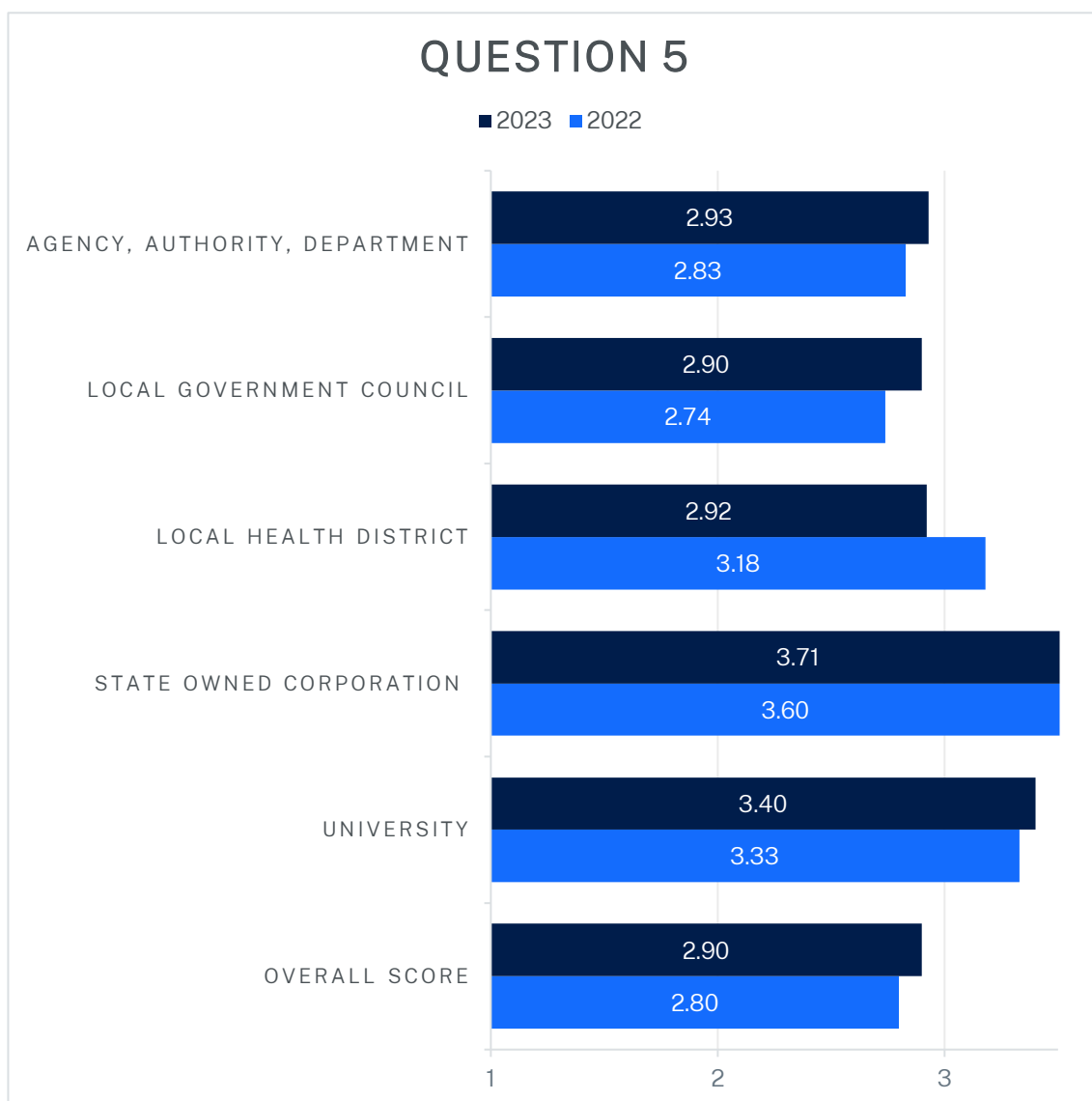


Comments received for this question advised that:

- many public offices are planning or are in the process of developing a records and information strategy
- a number of public offices rely on their records management policy to provide strategic direction for the records management program
- some public offices have been successful in connecting the records and information strategy with broader governance frameworks, organisational strategic documents and processes
- a number of public offices don't have a standalone strategy but have identified the key aspects to be incorporated into a strategy.

4.5 Question 5 – Records & Information Policy

This question asks if the public office has an up-to-date, approved and communicated policy for records and information management.



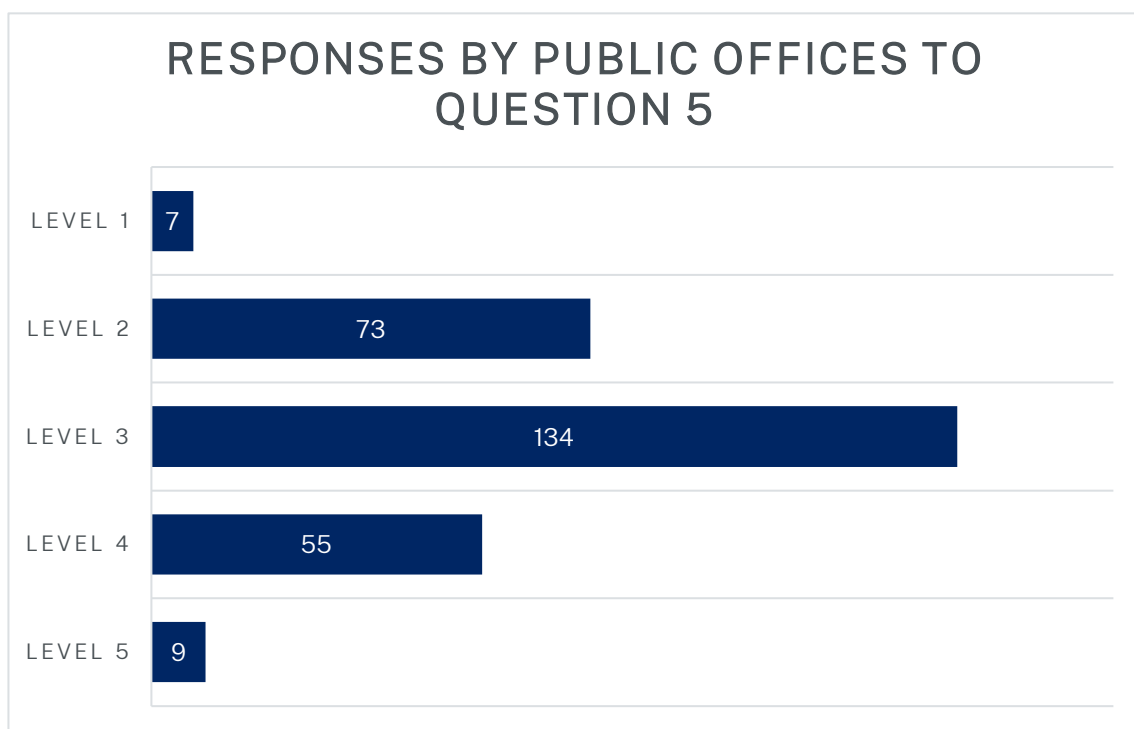
Governance frameworks, including high level policy and strategy are critical to the achievement of good records management.

The overall total score for this question has improved from **2.8** in 2022 to **2.9** in 2023.

State Owned Corporation and University public office types are compliant with this question. Local Health District, Local Government Council and Agency Authority and Department public office types are close to compliant.

Level of compliance (based on responses to question)	Percentage	Number
Public offices compliant with requirements of question	71%	198
Public offices not compliant with requirements of question	29%	80
Total	100%	278

The table above shows the level of compliance while the graph below shows the how public offices responded to the question.

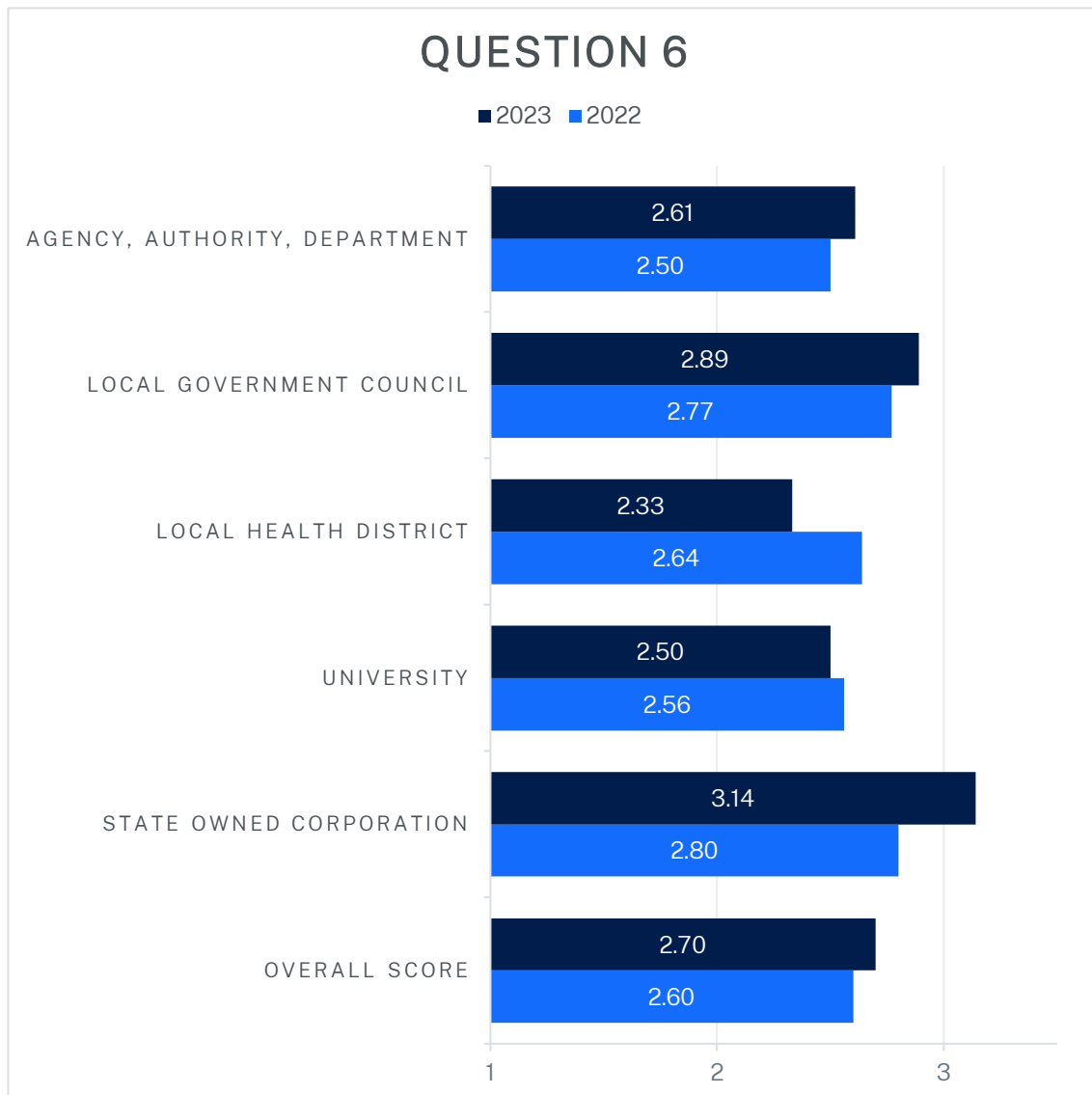


Comments received for this question advised that:

- many public offices are currently developing or reviewing and updating their existing policies, or have regular cycles for policy review
- many public offices identified that they have a records and information management policy in place that has been endorsed by senior management or CEO and published
- many public offices noted that the records and information management policy is linked to other organisational policies on information management and information security
- some public offices identified that the records and information management policy is part of other organisation-wide policies or governance documents
- some public offices do not have a policy.

4.6 Question 6 – RIM Responsibilities

This question asks if staff across the public office are aware of their records and information management responsibilities.



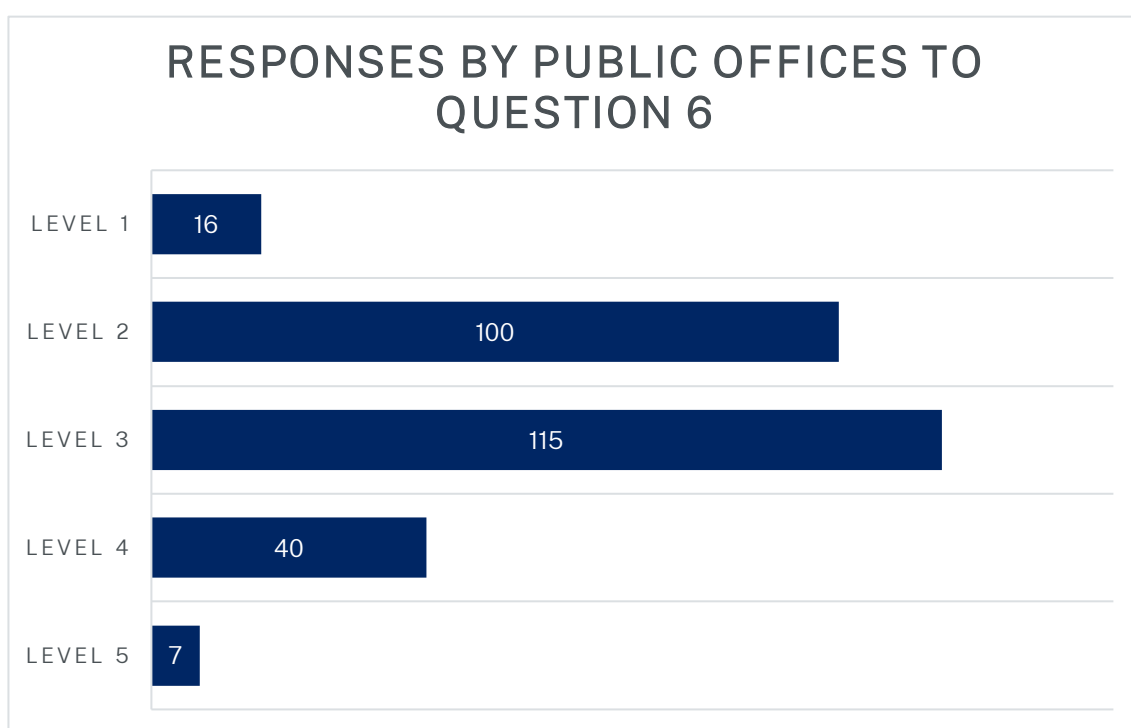
All staff of the public office, including business owners, business systems owners, and contractors, need to understand their records management responsibilities and receive training appropriate to their role. Responsibilities are identified in organisational policy, role descriptions and/or performance plans. Policy, business rules or procedures also document staff requirements for the creation and management of records.

The State Owned Corporation public office type is compliant with this question.

The overall total score for this question has improved from **2.6** in 2022 to **2.7** in 2023.

Level of compliance (based on responses to question)	Percentage	Number
Public offices compliant with requirements of question	58%	162
Public offices not compliant with requirements of question	42%	116
Total	100%	278

The table above shows the level of compliance while the graph below shows the how public offices responded to the question.

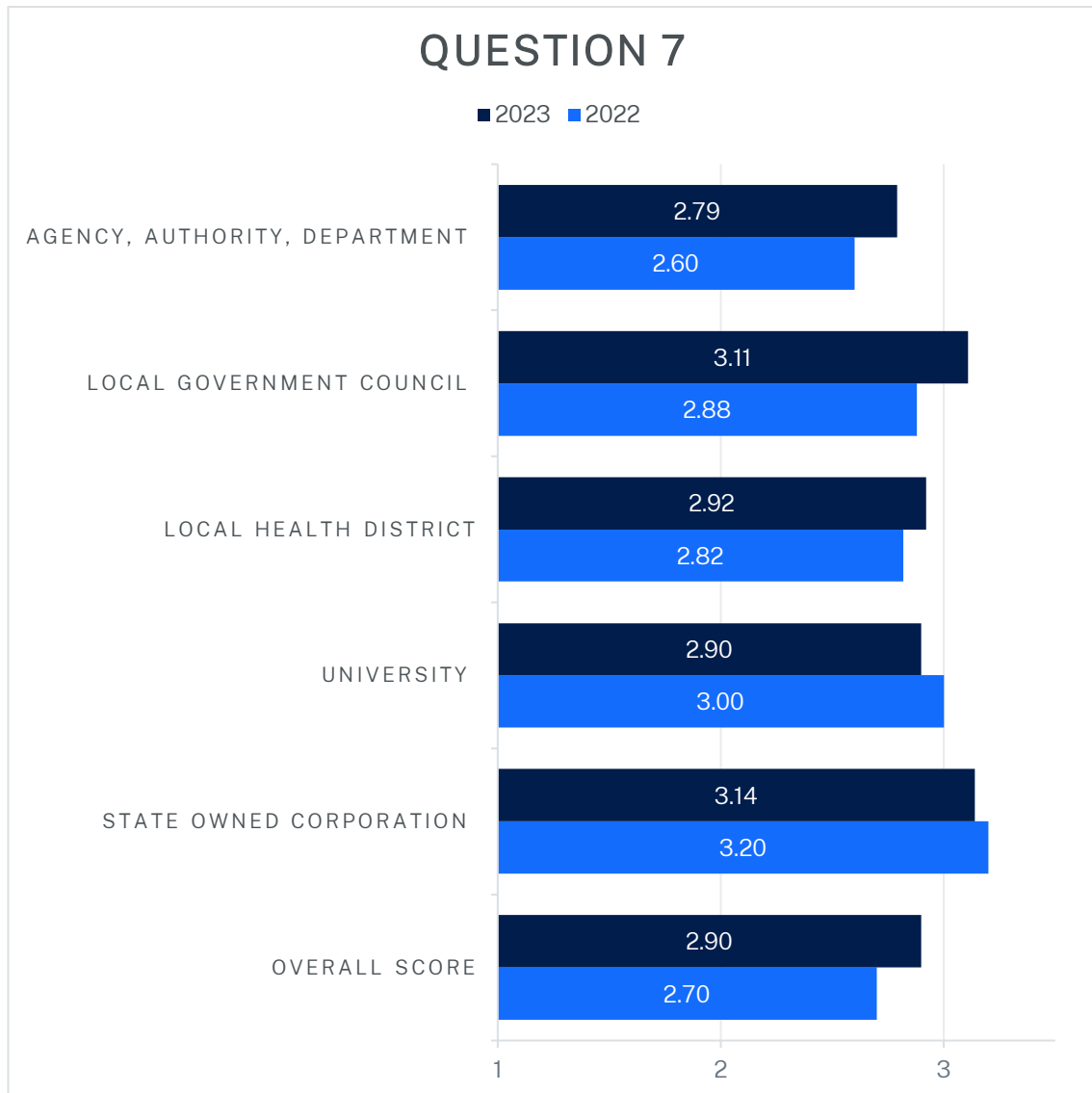


Comments received for this question advised that:

- many public offices advised that they have built responsibilities into policy, plans, position descriptions, performance plans and the code of conduct, or are planning to do this work
- many public offices reported that staff are aware of their recordkeeping responsibilities
- many public offices conduct induction or introductory training for staff which includes how to use the records management system
- some public offices are providing more detailed training, while others noted that they wanted to provide additional training (more than induction level)
- some public offices noted that contractors miss out on induction training
- many public offices noted that they use the State Records NSW training modules as part of their training strategy for staff.

4.7 Question 7 – Capability & Capacity

This question asks if the public office’s information management capability and capacity is sufficient to support and develop good information management.



Access to skilled, capable, and qualified records and information staff is a core and important resource for the successful deployment of records and information management strategies.

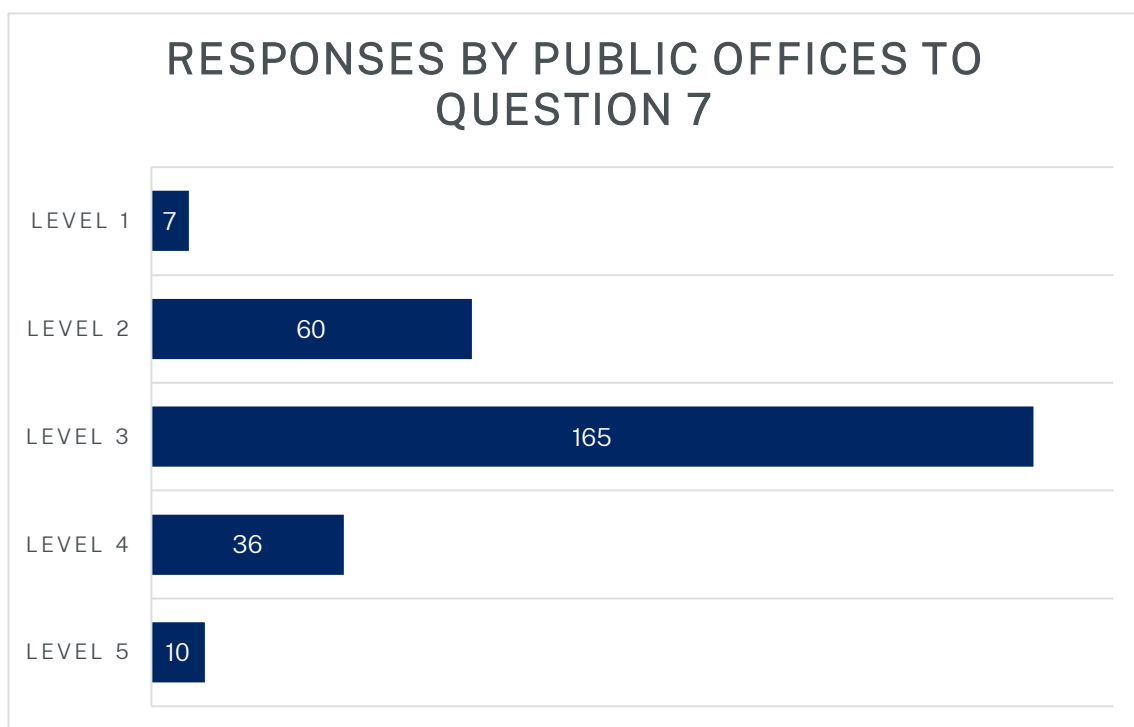
Within each public office’s records and information management strategy, there is likely to be a range of different levels of responsibility and skills required for the range of records and information management roles and work being undertaken.

The overall total score for this question has improved from **2.7** in 2022 to **2.9** in 2023.

The State Owned Corporation and Local Government public office types are compliant with this question. Local Health District and University public office types are close to compliant.

Level of compliance (based on responses to question)	Percentage	Number
Public offices compliant with requirements of question	76%	211
Public offices not compliant with requirements of question	24%	67
Total	100%	278

The table above shows the level of compliance while the graph below shows the how public offices responded to the question.

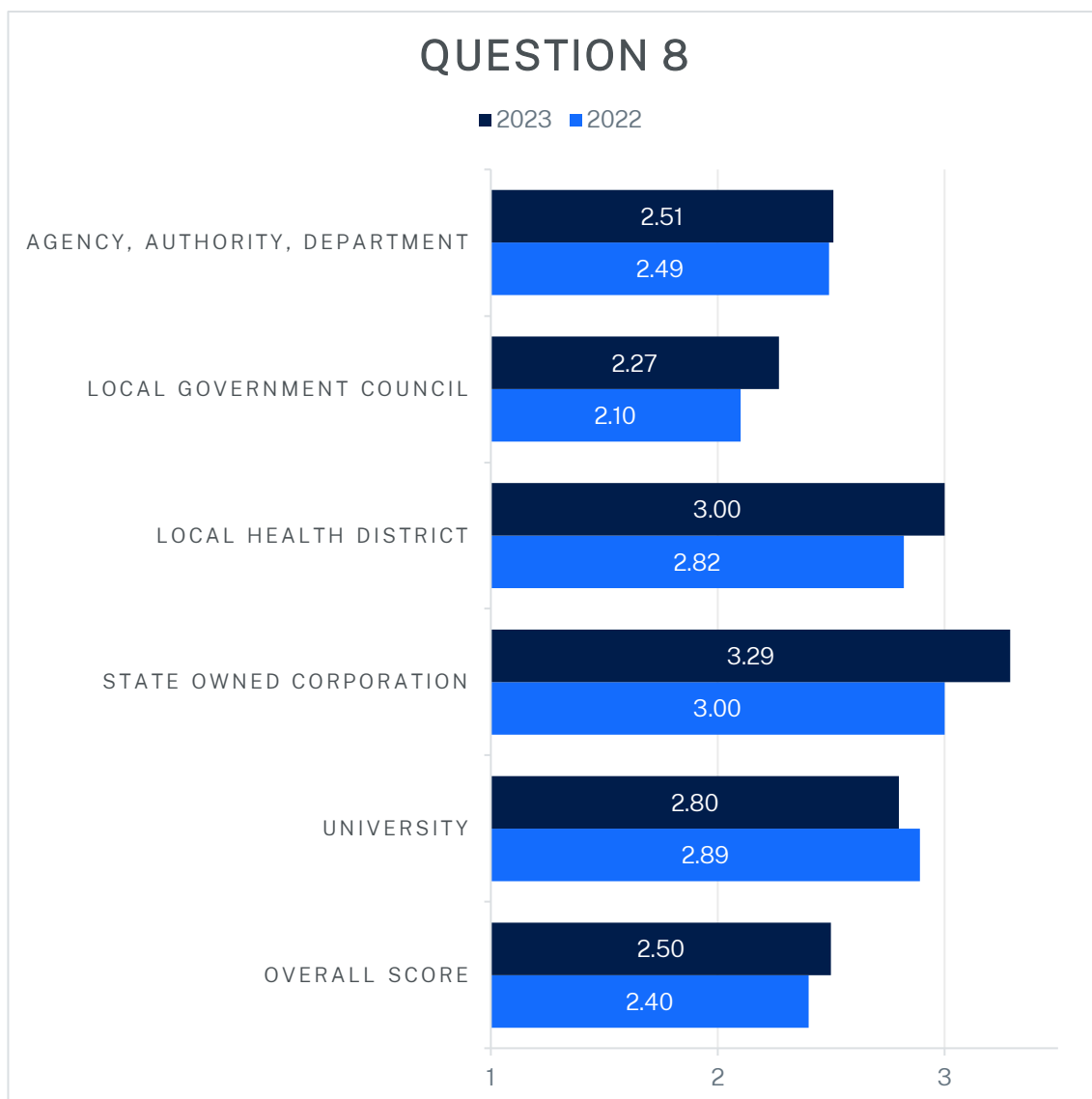


Comments received for this question advised that:

- many public offices noted that they have records and information management staff or access to skilled staff
- some public offices want to improve their capability and capacity, including staff resourcing and upskilling staff
- some public offices want to develop a skills strategy
- some public offices noted that they did not have records and information management staff.

4.8 Question 8 – Outsourcing & Contracts

This question asks if the public office ensures that partners, service providers, contractors and other external parties are made aware of their responsibilities for records and information management. It includes outsourced functions, collaborative arrangements, and service contracts.



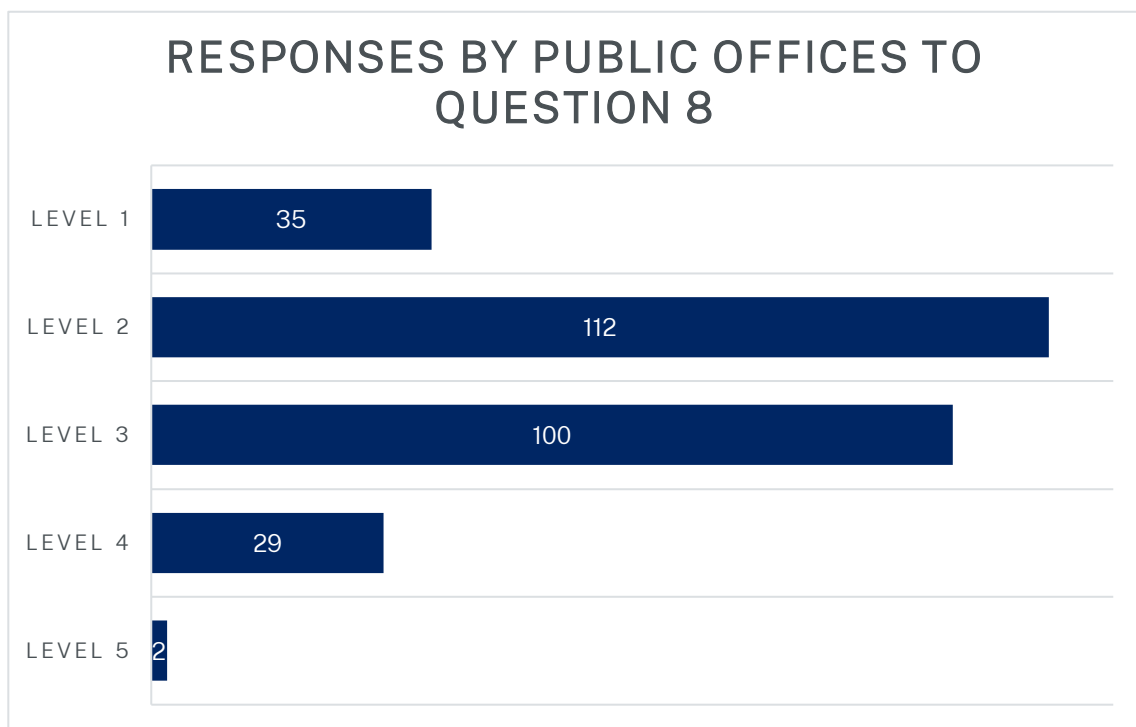
Public offices engage partners, service providers, contractors and other parties to perform specific tasks. Information and documentation required to be produced and managed in their performance of the agreement or contract needs to be clearly articulated. Additionally public offices need to ensure that portability of records and information is addressed in outsourced, cloud and similar service arrangements.

The overall total score for this question has improved from **2.4** in 2022 to **2.5** in 2023.

The State Owned Corporation and Local Health District public office types are compliant with this question.

Level of compliance (based on responses to question)	Percentage	Number
Public offices compliant with requirements of question	47%	131
Public offices not compliant with requirements of question	53%	147
Total	100%	278

The table above shows the level of compliance while the graph below shows the how public offices responded to the question.

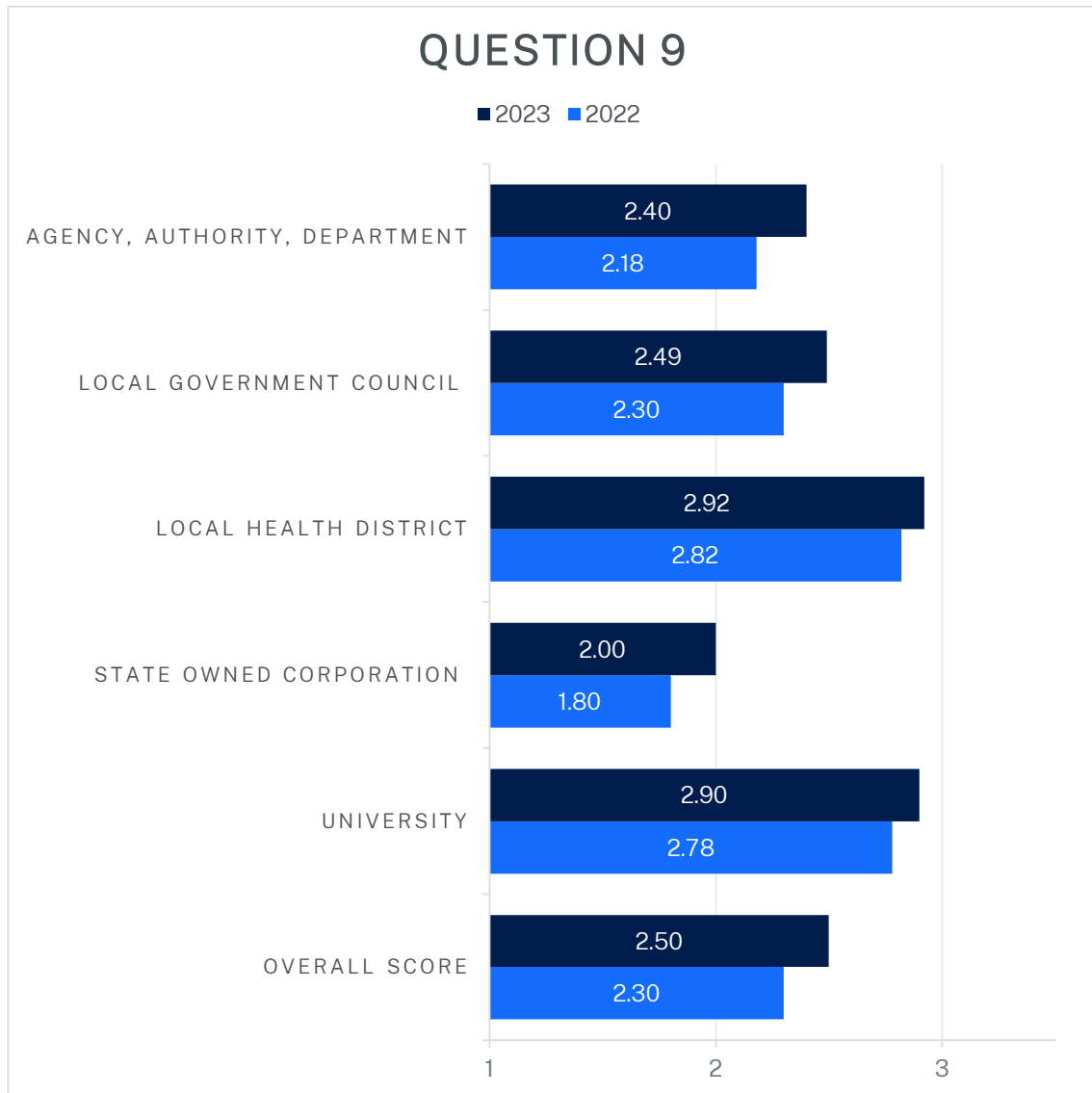


Comments received for this question advised that:

- many public offices noted that this was an area that needed to be addressed, some consider it a risk as recordkeeping is either not covered in contracts or only in a limited way
- many public offices noted that contractors are not trained in recordkeeping
- many public offices noted a lack of monitoring or review of compliance
- some public offices noted that they have included recordkeeping in contracts and a number noted that they are using organisation or whole-of-Government-contract templates which address recordkeeping requirements.

4.9 Question 9 – Performance Monitoring

This question asks if the public office monitors the performance of records and information management.



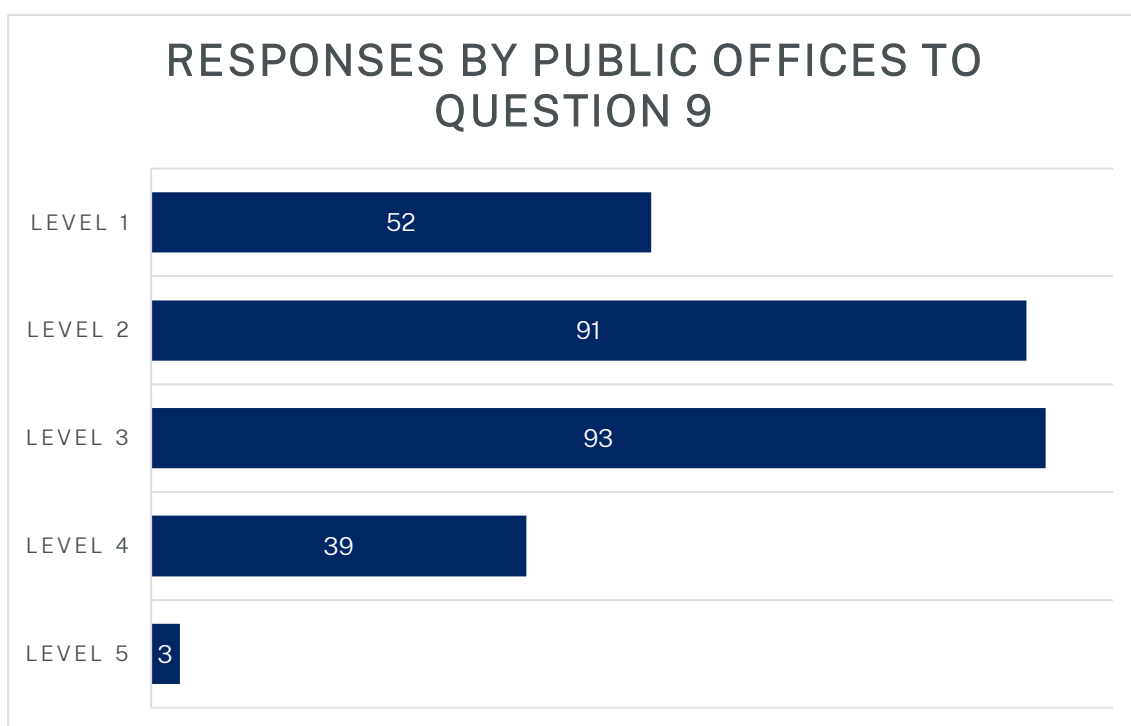
Records and information management activities, systems and processes should be regularly monitored to ensure that they are meeting the needs of the public office and are in conformity with requirements. If issues are identified through a monitoring process then these need to be addressed with a corrective action. Monitoring includes activities such as process and system audits.

The overall total score for this question has improved from **2.3** in 2022 to **2.5** in 2023.

No public office types are compliant with this question. The State Owned Corporation public office type is close to compliant.

Level of compliance (based on responses to question)	Percentage	Number
Public offices compliant with requirements of question	49%	135
Public offices not compliant with requirements of question	51%	143
Total	100%	278

The table above shows the level of compliance while the graph below shows the how public offices responded to the question.

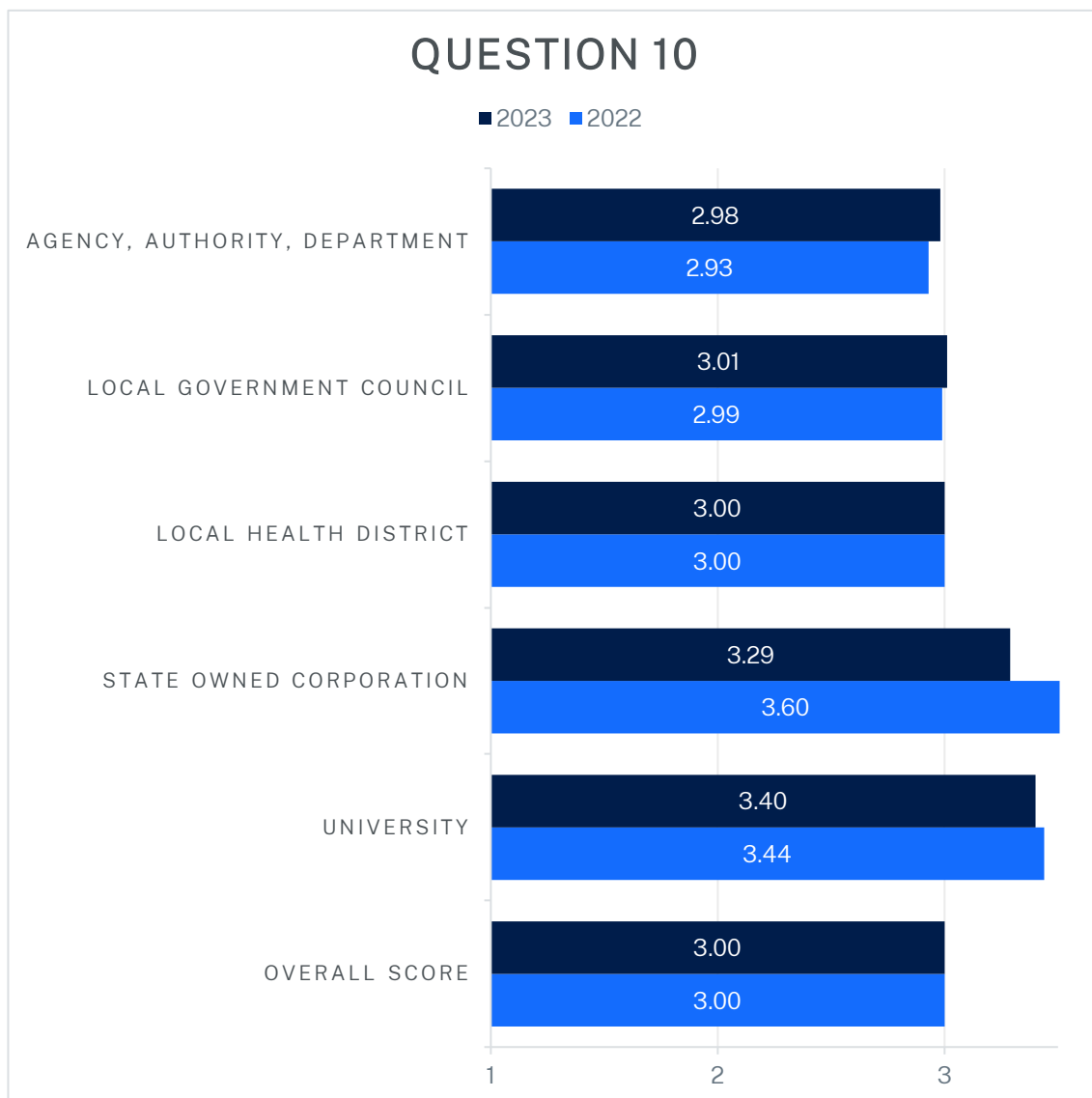


Comments received for this question advised that:

- many public offices noted that they do not monitor or only monitor in an ad hoc or limited way
- some public offices reported that they are planning or have regular internal and external audits of records management
- some public offices noted that the completion of an RMAT assessment for the annual Monitoring Exercise is the only monitoring which is undertaken
- many public offices reported that they regularly monitor the performance of systems, quality check the records management system, and use the functionality of the records management system to monitor the recordkeeping performance of staff.

4.10 Question 10 – Security & Protection

This question asks if security and access controls protect digital and hard copy records and information from unauthorised or unlawful access, destruction, loss, deletion or alteration.



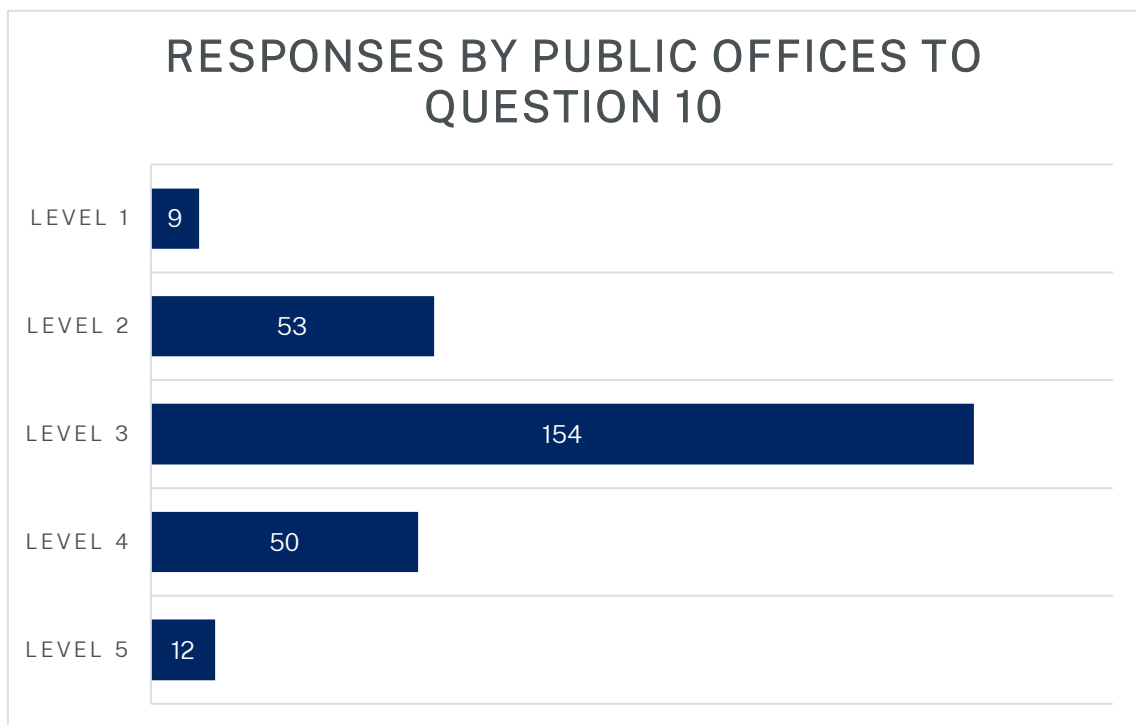
Public offices should implement an information security policy and appropriate security mechanisms. All records in all formats require a basic level of security to prevent misuse and unauthorised access and ensure their authenticity and integrity.

The overall total score for this question has remained the same, a score of **3** in 2022 and **3** in 2023.

The State Owned Corporation, Local Health District, University and Local Government Council public office types are compliant with this question. The Agency, Authority, Department public office type is close to compliant.

Level of compliance (based on responses to question)	Percentage	Number
Public offices compliant with requirements of question	78%	216
Public offices not compliant with requirements of question	22%	62
Total	100%	278

The table above shows the level of compliance while the graph below shows the how public offices responded to the question.

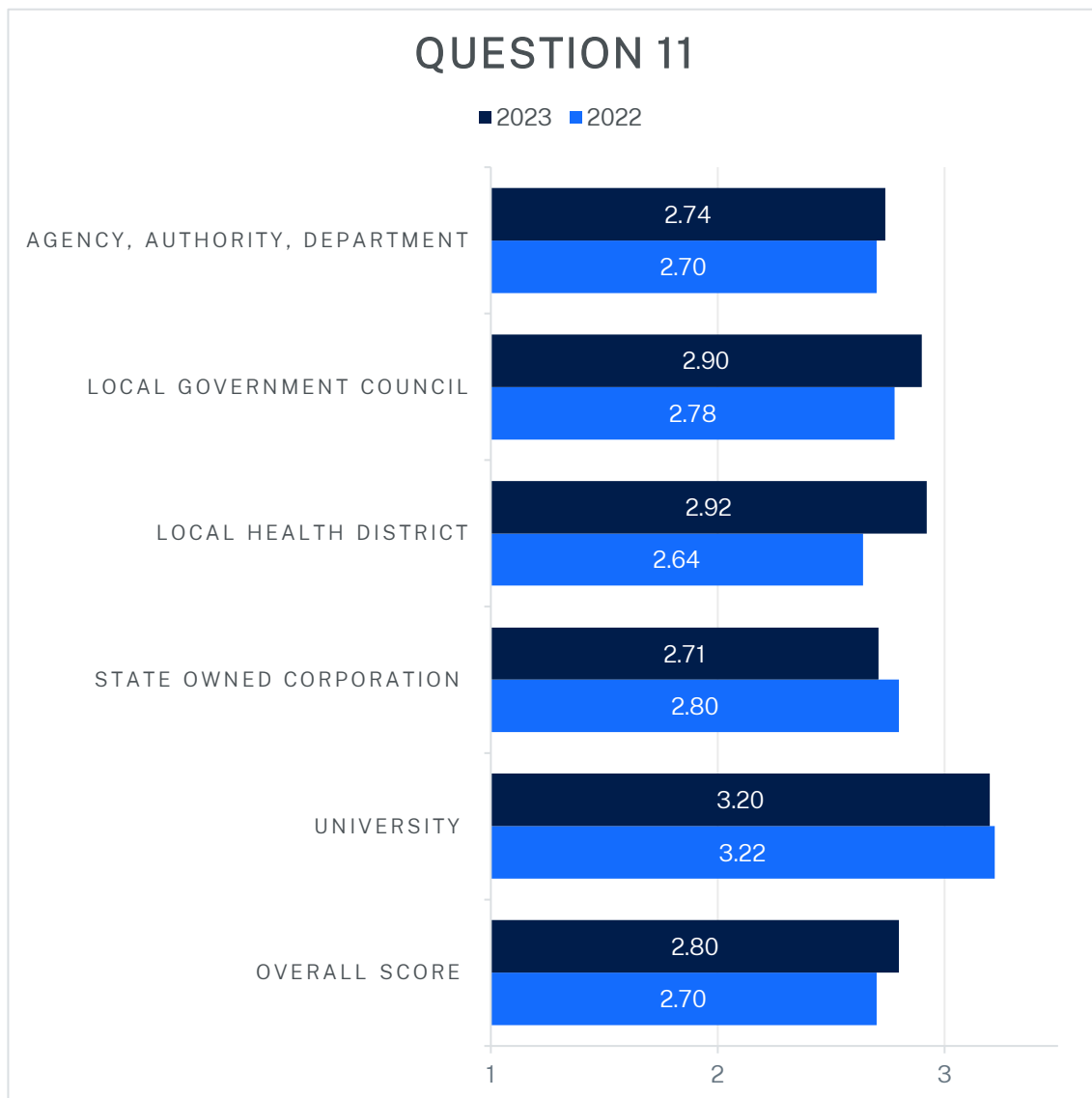


Comments received for this question advised that:

- many public offices advised on the security and access controls that they have put in place to protect records in all formats, including work that has been undertaken to meet requirements for cyber security attestation
- many public offices noted that they are reviewing and improving controls, including testing controls
- some public offices noted the work they are doing to identify and address security or access incidents and report such incidents to the organisation.

4.11 Question 11 – Search & Discovery

This question asks if staff and contractors are able to find the information and records that they are looking for.



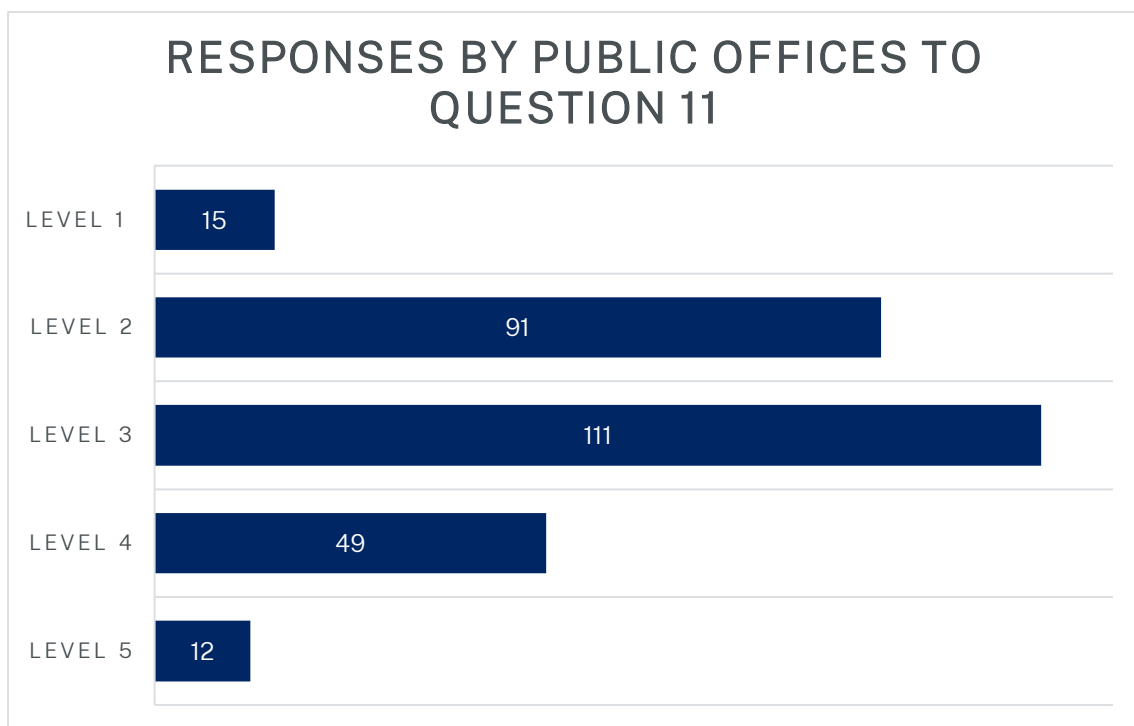
This requirement ensures that records and information can be identified, retrieved from storage (physical or digital storage), and are accessible for as long as they are required. Adequate metadata should be used to ensure that records are identifiable and retrievable.

The overall total score for this question has improved from **2.7** in 2022 to **2.8** in 2023.

The University public office type is compliant with this question. The Local Health District and Local Government Council public office types are close to being compliant.

Level of compliance (based on responses to question)	Percentage	Number
Public offices compliant with requirements of question	62%	172
Public offices not compliant with requirements of question	38%	106
Total	100%	278

The table above shows the level of compliance while the graph below shows the how public offices responded to the question.

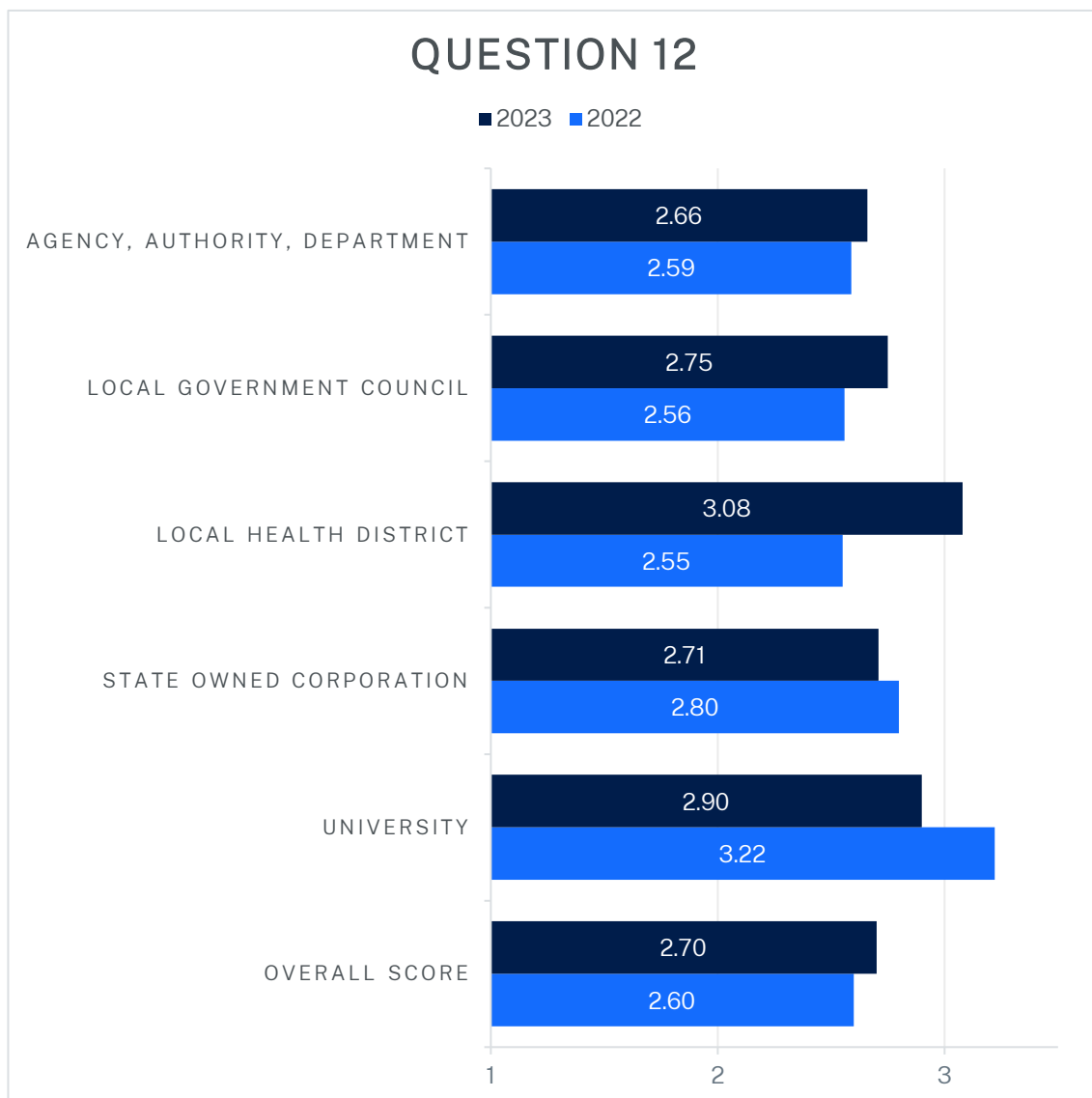


Comments received for this question advised that:

- some public offices reported issues with identifying and retrieving records due to a lack of, or poor, naming conventions or standardisation across the organisation
- many public offices identified they were working on new naming conventions or business classification schemes, business rules, and standards for metadata
- some public offices noted that it was difficult to quantify the issue as they lack statistics or metrics for this area of practice
- some public offices noted the need to standardise across a range of systems that hold records, which assist staff in identifying and retrieving records
- many public offices noted that they had conducted training to assist staff use systems and locate records.

4.12 Question 12 – Quality Records and Information

This question asks if business needs and user expectations for records and information are being met and if records are managed to ensure that they are reliable and trustworthy.



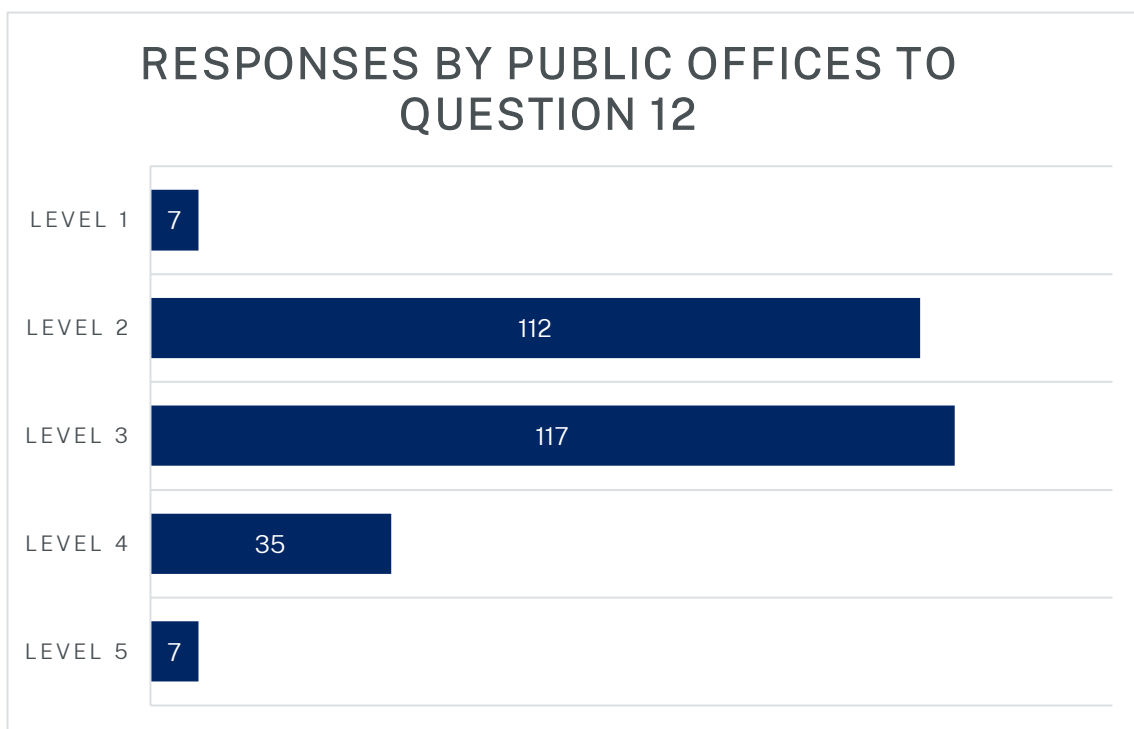
Records and information need to be accurate, authentic, and reliable – as evidence of transactions, decisions, and actions. Adequate and appropriate metadata enables a record to function as reliable and trusted evidence. Implementing policy, business rules, procedure and other control mechanisms work towards ensuring the accuracy and quality of records created, captured and managed.

The overall total score for this question has improved from **2.6** in 2022 to **2.7** in 2023.

The Local Health District public office type is compliant with this question. The University public office type is close to compliant.

Level of compliance (based on responses to question)	Percentage	Number
Public offices compliant with requirements of question	57%	159
Public offices not compliant with requirements of question	43%	119
Total	100%	278

The table above shows the level of compliance while the graph below shows the how public offices responded to the question.

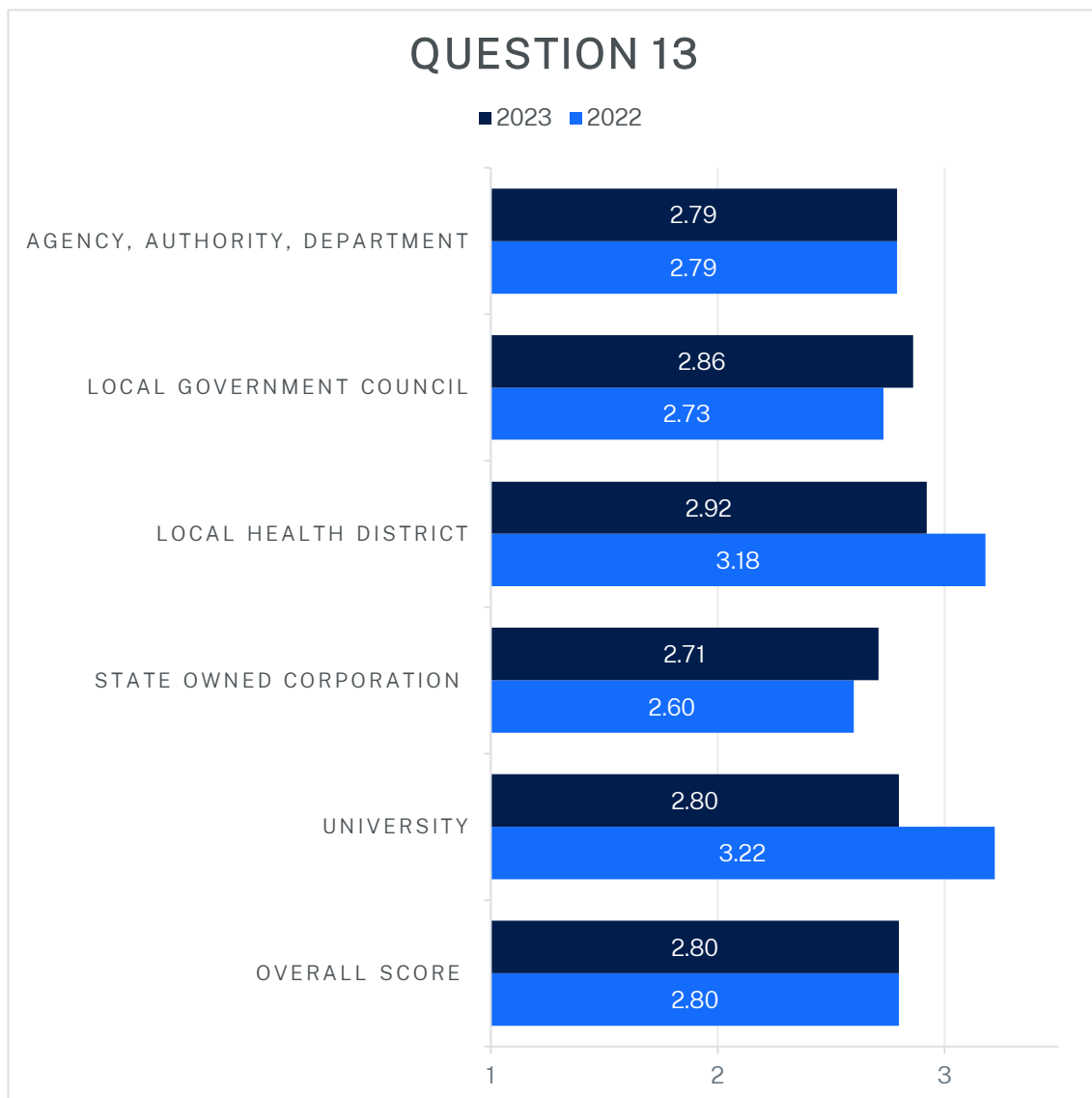


Comments received for this question advised that:

- some public offices noted that recordkeeping and information quality is inconsistent across the organisation; recordkeeping is usually better in corporate areas than in operational areas
- many public offices reported on the templates, policies, procedures, business rules, system audits, or regular auditing that they have implemented or are developing to ensure trustworthy and reliable records
- some public offices commented on the work they have planned or have undertaken to identify and address business and user needs.

4.13 Question 13 – Use & Re-Use

This question asks how usable and re-usable is the information being created or collected by the public office now and into the future.



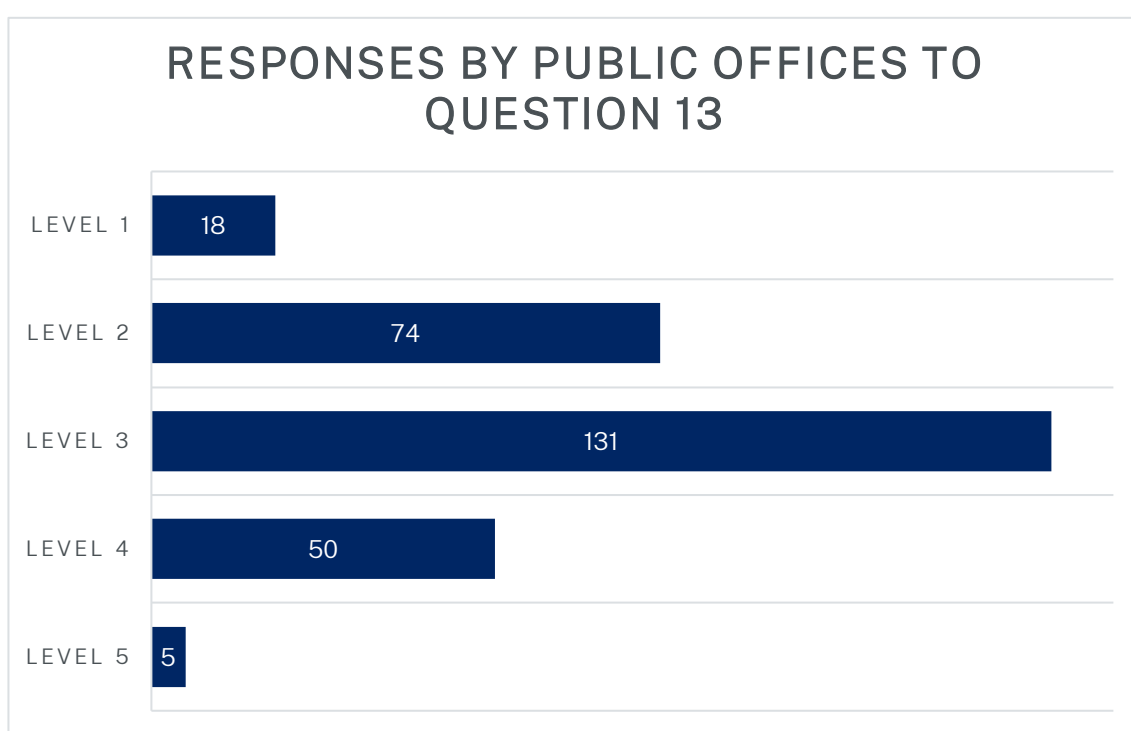
This requirement supports the sharing and re-use of information within the public office and to external stakeholders. The use of metadata, standard formats, standard processes for information use and re-use, and data sharing agreements all contribute to making information in records usable and re-usable.

The overall total score for this question has remained the same, a score of **2.8** in 2022 and **2.8** in 2023.

No public office type is compliant with this question, although the Local Health District public office type is close to compliant.

Level of compliance (based on responses to question)	Percentage	Number
Public offices compliant with requirements of question	67%	186
Public offices not compliant with requirements of question	33%	92
Total	100%	278

The table above shows the level of compliance while the graph below shows the how public offices responded to the question.

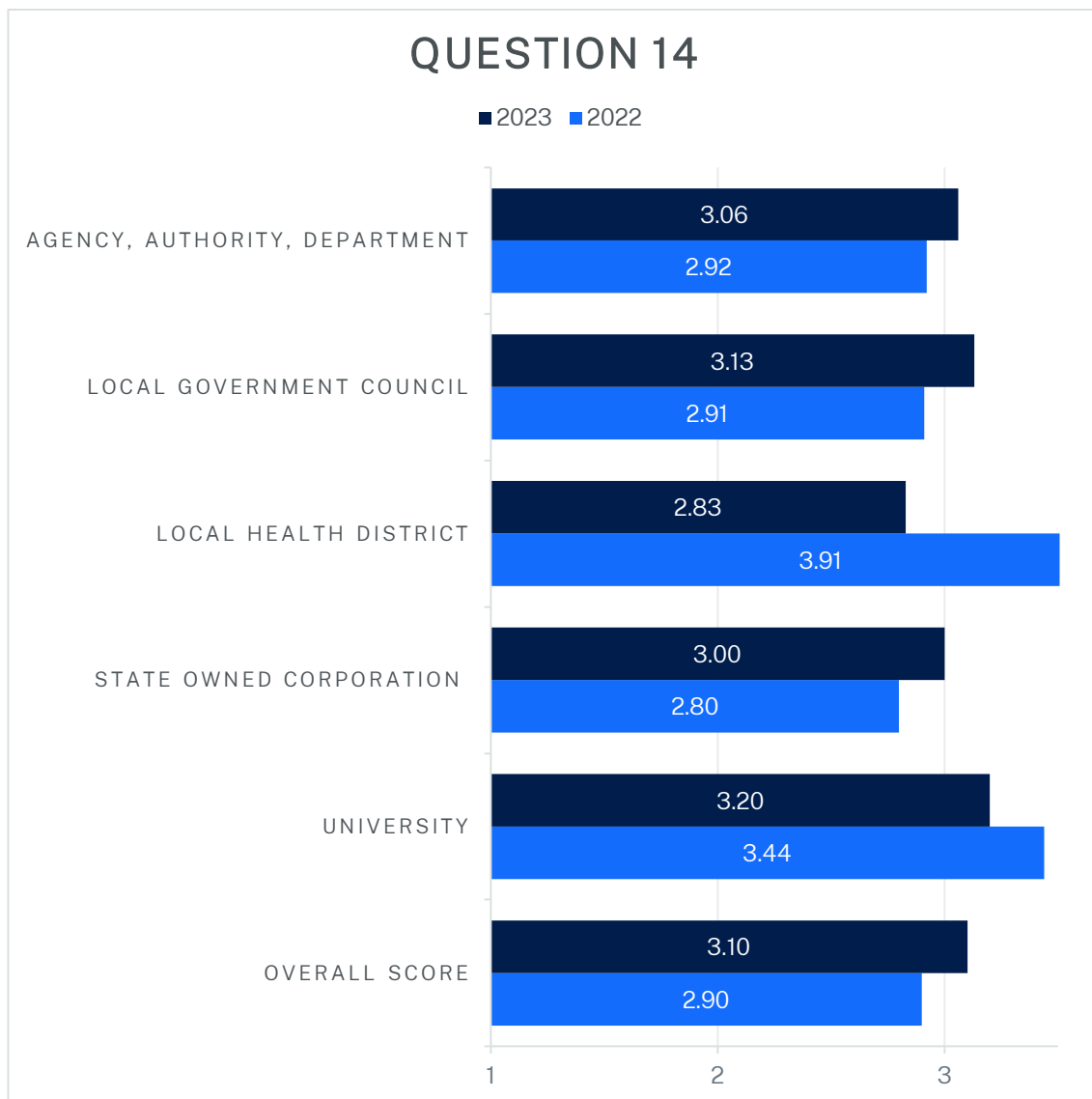


Comments received for this question advised that:

- some public offices identified that there is no systematic approach for use and re-use of information, and is often an ad hoc approach
- some public offices noted that the lack of quality control measures such as naming conventions and metadata impacts use and re-use
- many public offices noted data sharing arrangements that are in place or the frameworks that they use for data sharing
- many public offices identified the strategies that they are undertaking or have implemented to enable use and re-use of information.

4.14 Question 14 – Systems Design

This question asks if records and information requirements are addressed in the design and management of IT systems and services for the public office.



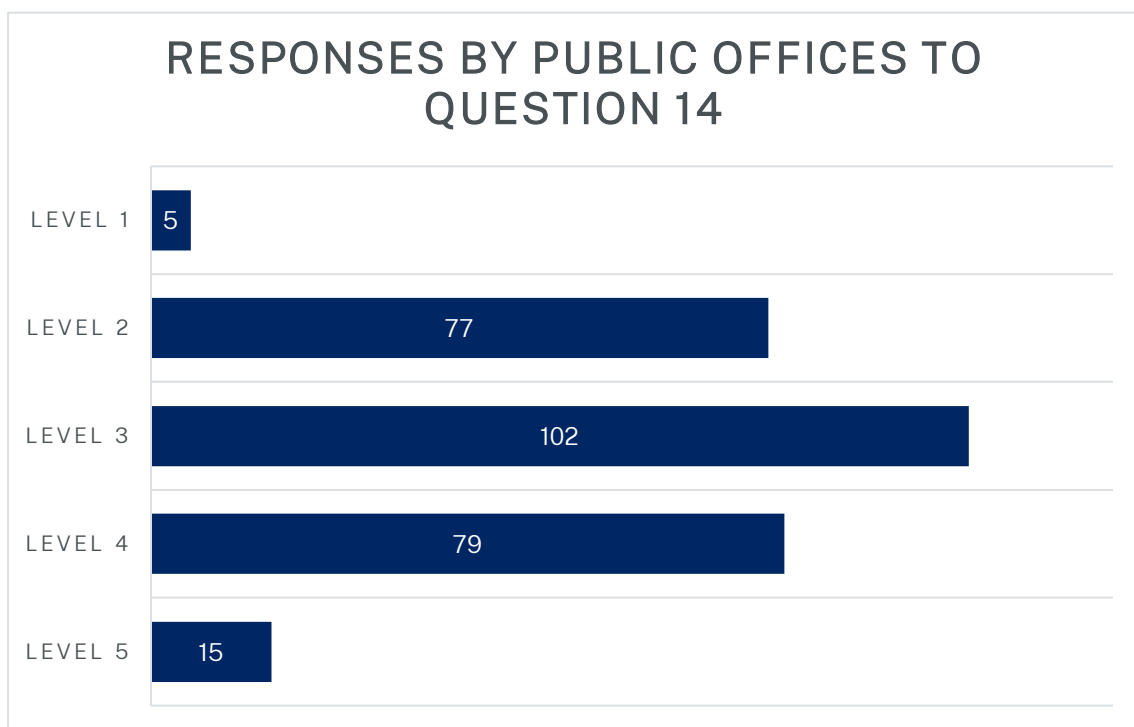
Taking a 'by design' approach means that records and information management is addressed in systems design, specification, and acquisition. This enables better controls of records and information, and easier systems maintenance, migrations or service transitions, and decommissioning, and improved outcomes.

The overall total score for this question has improved from **2.9** in 2022 to **3.1** in 2023.

The State Owned Corporation, University, Local Government Council and Agency, Authority, Department public office types are compliant with this question.

Level of compliance (based on responses to question)	Percentage	Number
Public offices compliant with requirements of question	71%	196
Public offices not compliant with requirements of question	29%	82
Total	100%	278

The table above shows the level of compliance while the graph below shows the how public offices responded to the question.

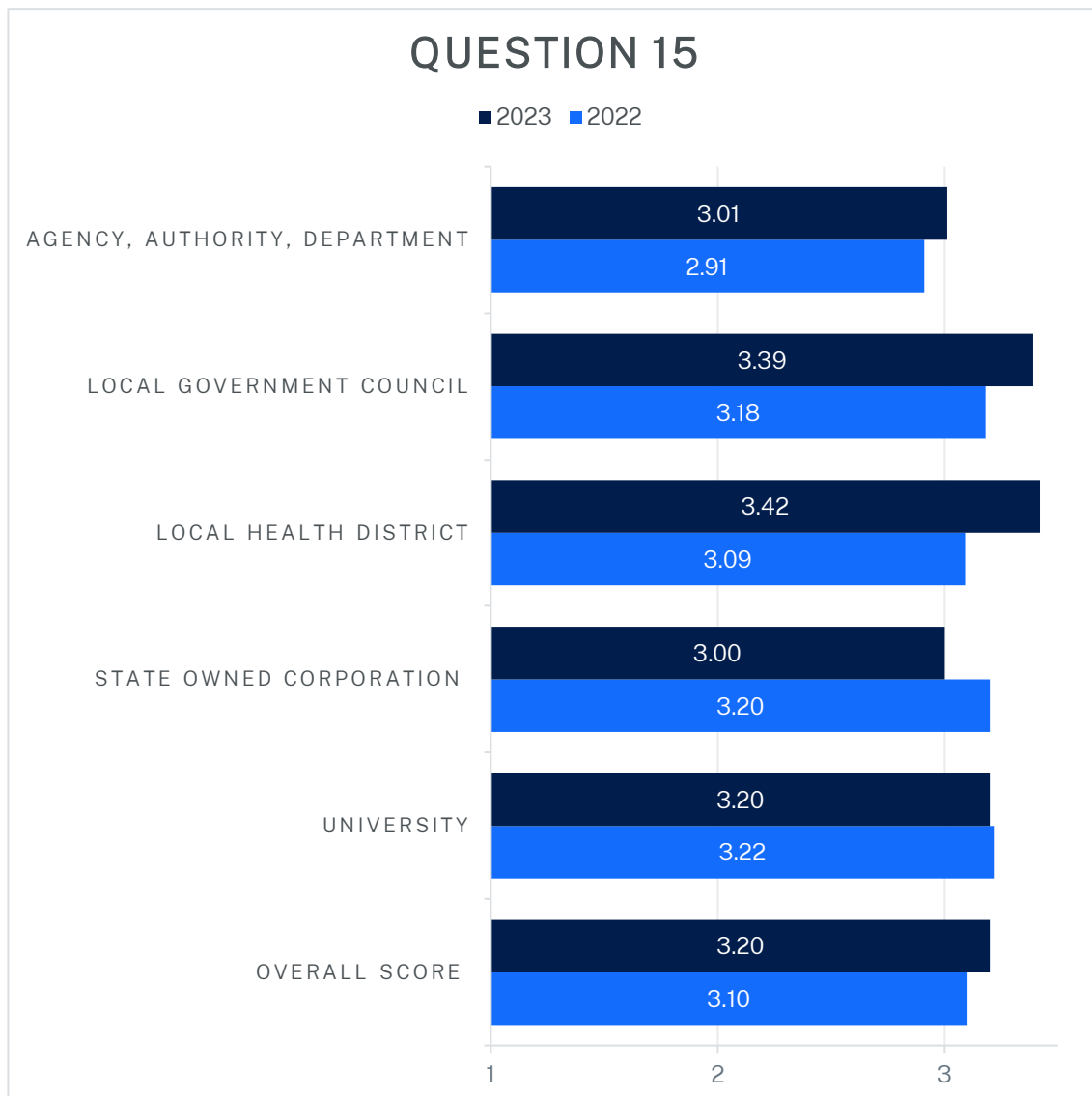


Comments received for this question advised that:

- many public offices are working to ensure that records and information management requirements are addressed in systems design and assessments of existing systems
- many public offices noted that records and information management is considered as part of the development, implementation and decommissioning of systems
- some public offices noted that records and information management is often not considered in the design of new systems, noted a lack of visibility of systems, and identified the challenge of a lack of resources to address gaps in recordkeeping functionality in systems.

4.15 Question 15 – Create, Collect, Capture

This question asks if records and appropriate metadata are created, collected and captured across the public office.



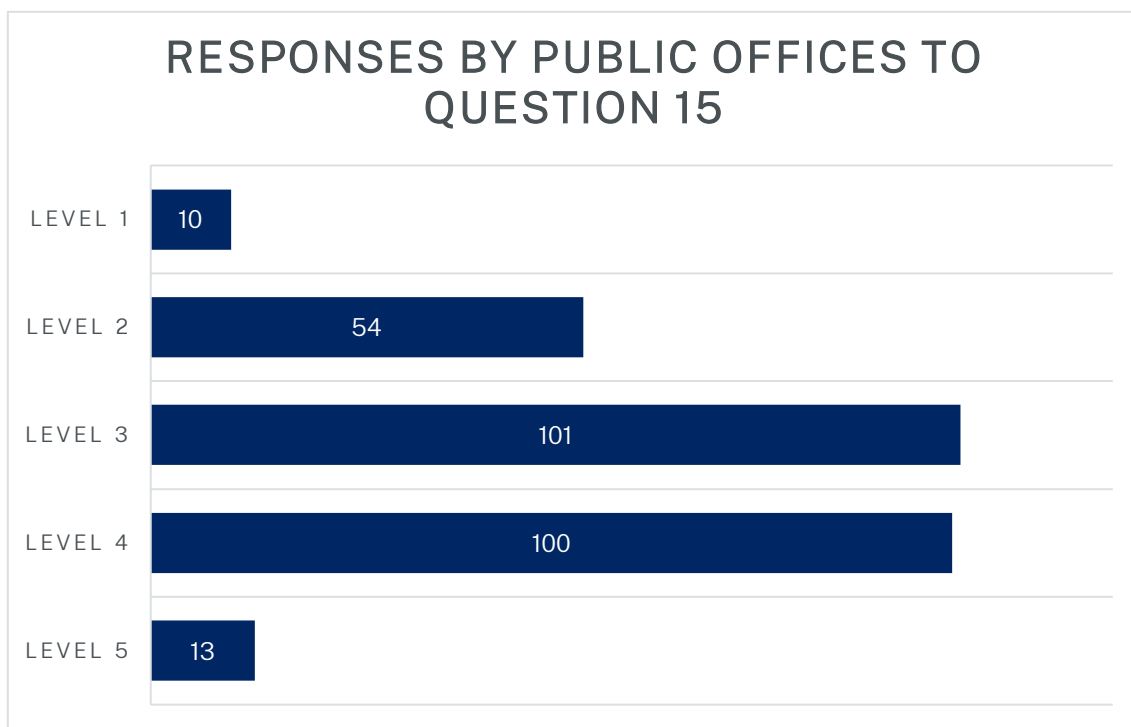
This requirement ensures that the public office (including staff and contractors) is conforming with policies, rules and processes and that records and information are being routinely created and managed.

The overall total score for this question has improved from **3.1** in 2022 to **3.2** in 2023.

All public office types are compliant with this question.

Level of compliance (based on responses to question)	Percentage	Number
Public offices compliant with requirements of question	77%	214
Public offices not compliant with requirements of question	23%	64
Total	100%	278

The table above shows the level of compliance while the graph below shows the how public offices responded to the question.

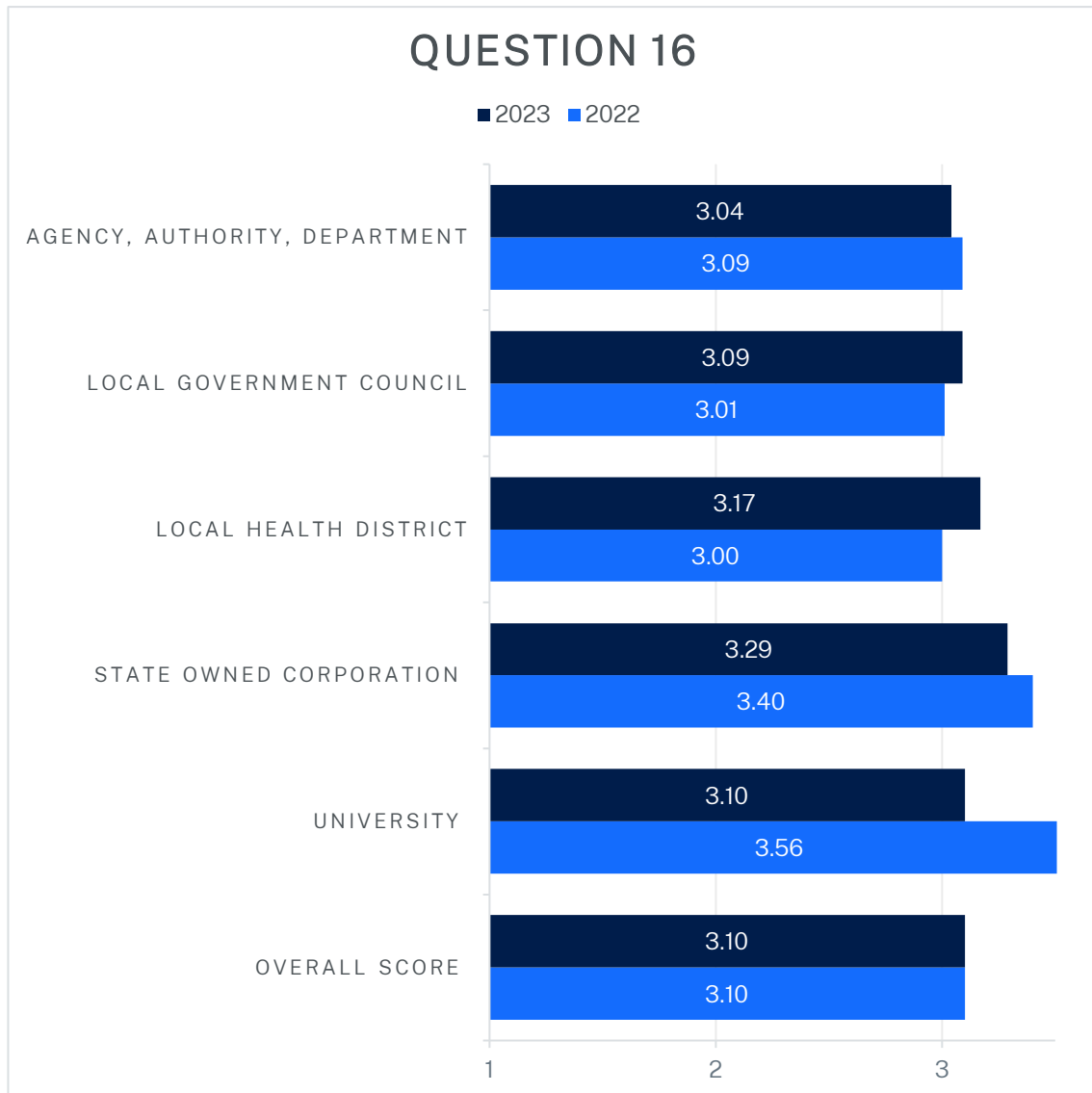


Comments received for this question advised that:

- many public offices identified the processes that they have in place for creating and capturing records, and the policies, procedures and business rules that they have put in place to instruct staff in their responsibilities, and that records and metadata are created as part of business practice
- some public offices noted that they have automated the capture of metadata and in some instances the automated capture of records
- some public offices noted that they needed to improve in this area, as there is inconsistency across the organisation in the creation and capture of records (such as when to create a record) and metadata
- a number of public offices noted the induction and ongoing training that they provide to staff to ensure that staff are aware of their recordkeeping responsibilities.

4.16 Question 16 – Storage

This question asks if the public office has considered how best to store digital and hard copy records and information.



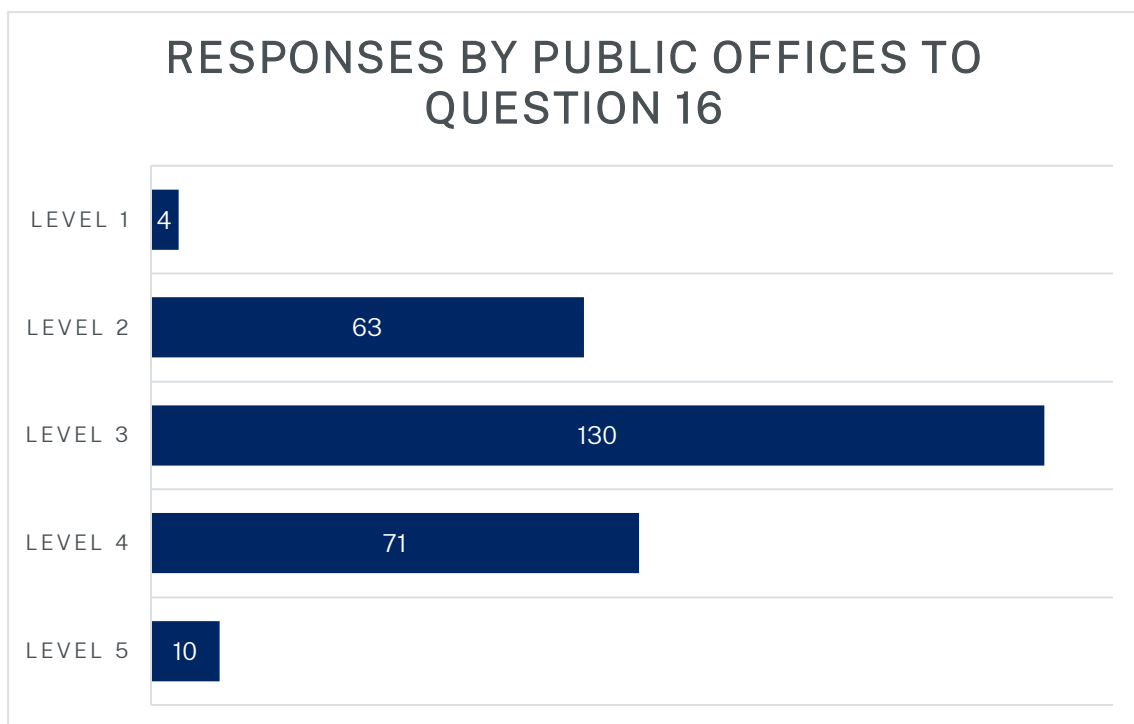
This requirement ensures that public offices have addressed storage for records and information, including those records that have long term retention or are required permanently, enabling records and information to be safeguarded and managed appropriately over time.

The overall total score for this question has remained the same, a score of **3.1** in 2022 and **3.1** in 2023.

All public office types are compliant with this question.

Level of compliance (based on responses to question)	Percentage	Number
Public offices compliant with requirements of question	76%	211
Public offices not compliant with requirements of question	24%	67
Total	100%	278

The table above shows the level of compliance while the graph below shows the how public offices responded to the question.

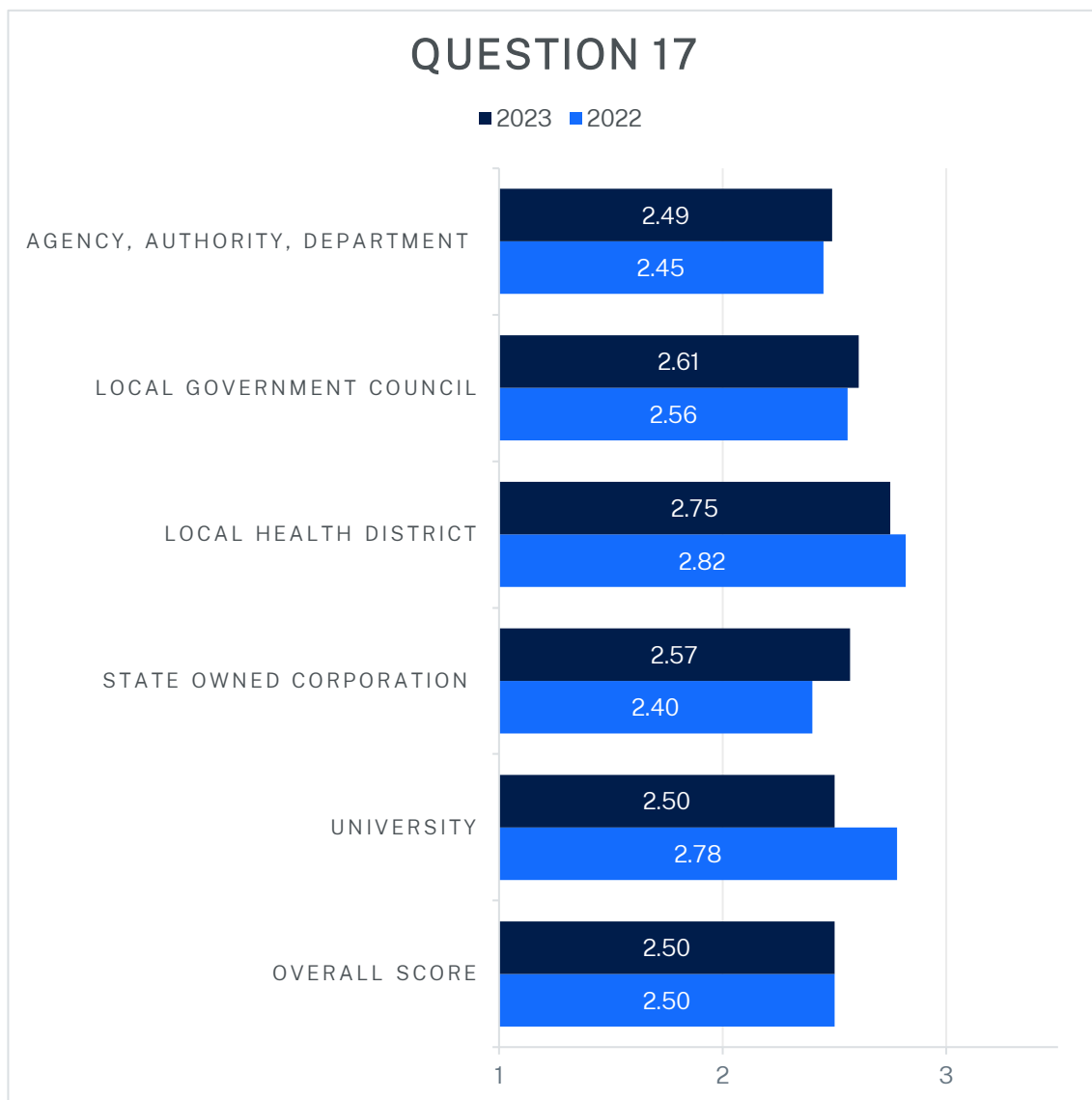


Comments received for this question advised that:

- many public offices identified how they are storing their records and the work they are doing to assess and improve physical and digital storage arrangements
- some public offices identified that storage arrangements may be variable across the organisation
- some public offices noted that storage facilities being used may not have been assessed using the *Standard on the physical storage of State records* for their suitability
- many public offices identified that their digital records are kept in systems, including the records management system, and that this storage is on the network and backed-up or is stored in the cloud
- a number of public offices noted that they had migrated records from old systems to the records management system to ensure accessibility to the records and appropriate storage.

4.17 Question 17 – Retention & Disposal

This question asks if the public office has identified the records and information required to meet short, medium and long term needs.



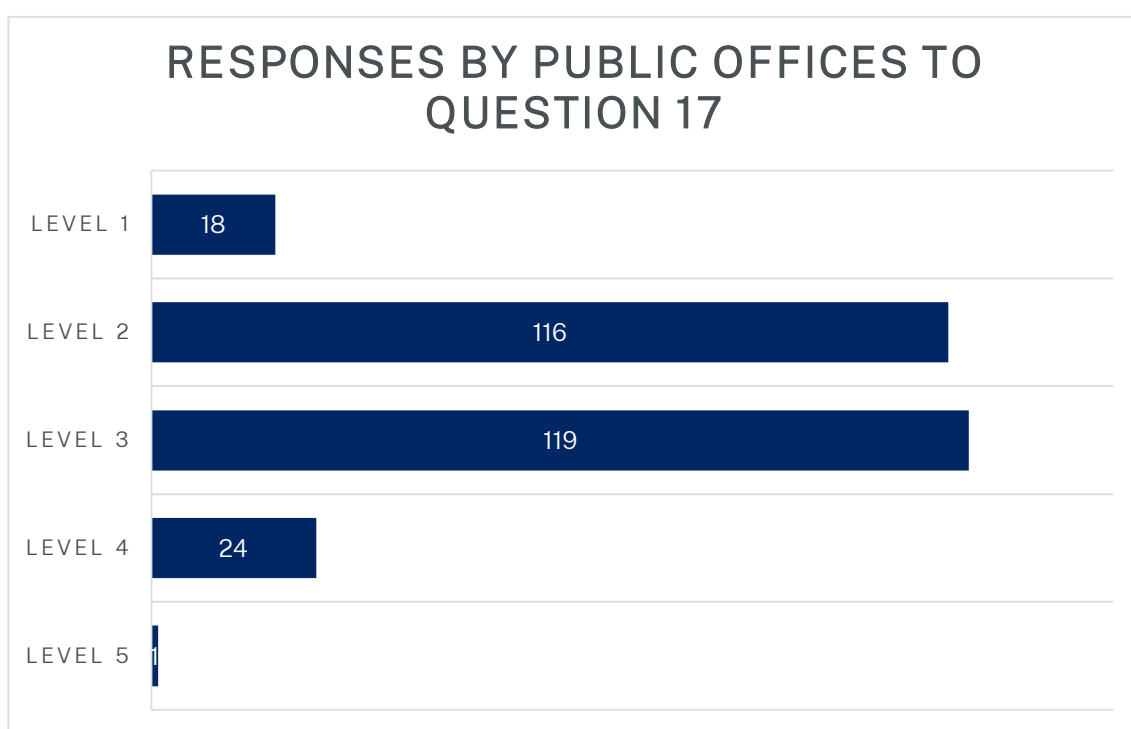
A documented assessment of the public office's functions and activities enables the organisation to determine what records it requires to support business and other identified recordkeeping requirements. This work provides the foundation for determining and implementing retention and disposal for records, identifying which systems and business processes are high risk and/or high value and the records required to support these, and the appropriate storage regime for the records.

The overall total score for this question has remained the same, a score of **2.5** in 2022 and **2.5** in 2023.

No public office type is compliant with this question.

Level of compliance (based on responses to question)	Percentage	Number
Public offices compliant with requirements of question	52%	144
Public offices not compliant with requirements of question	48%	134
Total	100%	278

The table above shows the level of compliance while the graph below shows the how public offices responded to the question.

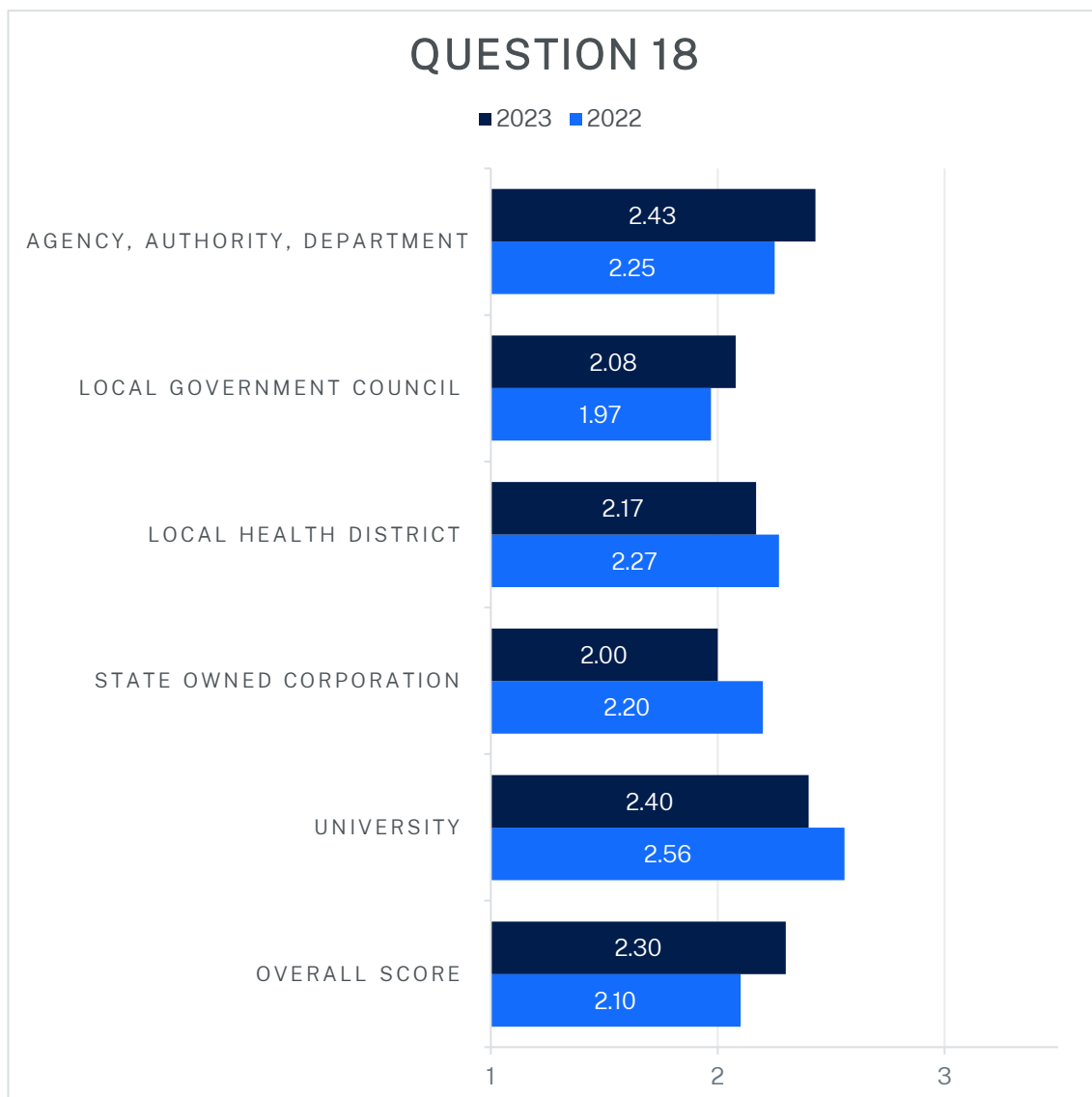


Comments received for this question advised that:

- many public offices identified retention and disposal authorities for their organisation and some public offices noted the need to review the retention and disposal authority
- many public offices advised that they sentence records held in the records management system, but digital records stored elsewhere may not have been sentenced; many public offices sentence hardcopy records
- many public offices didn't identify if they have regular sentencing programs or documentation of disposal actions
- disposal/destruction of records is ad hoc in some public offices
- some public offices noted the secure destruction processes they use.

4.18 Question 18 – Transfer

This question asks if the public office has considered requirements to transfer records and information to the State Archives Collection.



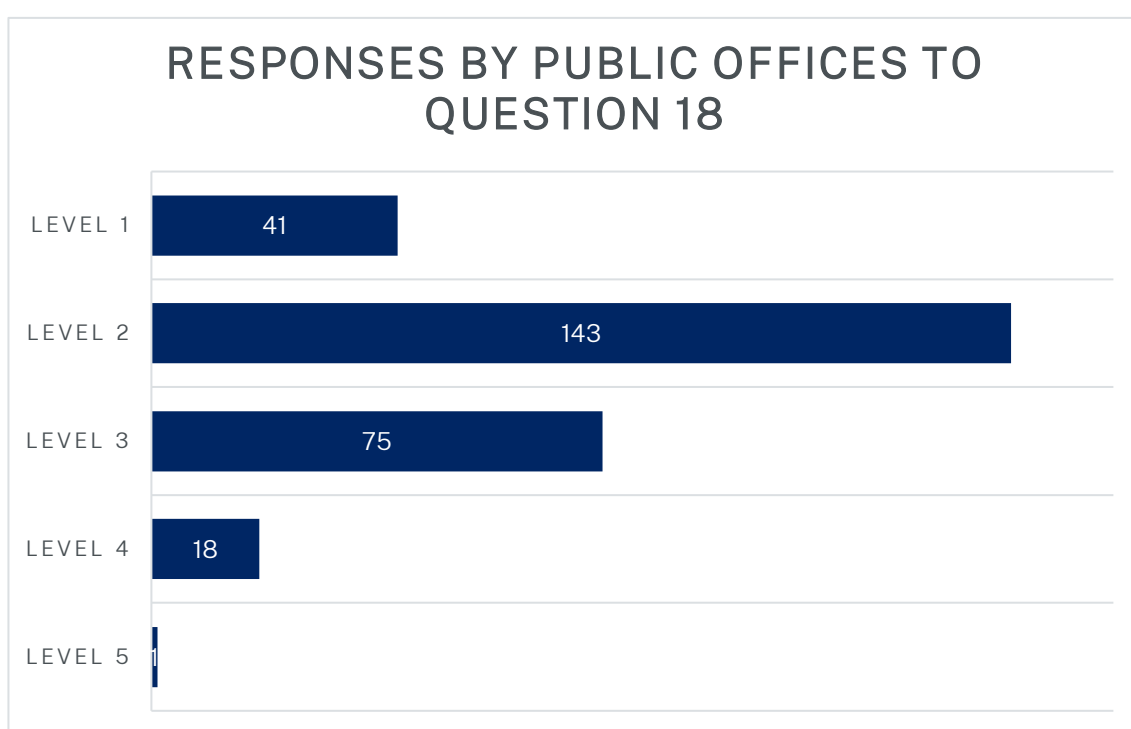
Retention and disposal authorities identify those State records which are required for permanent retention as State archives. Once a State record, required to be kept permanently as a State archive, is no longer in use for official purposes in the public office, MHNSW is entitled to control the record. At this time the public office should make arrangements with MHNSW to transfer the record to the State Archives Collection.

The overall total score for this question has improved from **2.1** in 2022 to **2.3** in 2023.

No public office type is compliant with this question.

Level of compliance (based on responses to question)	Percentage	Number
Public offices compliant with requirements of question	34%	94
Public offices not compliant with requirements of question	66%	184
Total	100%	278

The table above shows the level of compliance while the graph below shows the how public offices responded to the question.

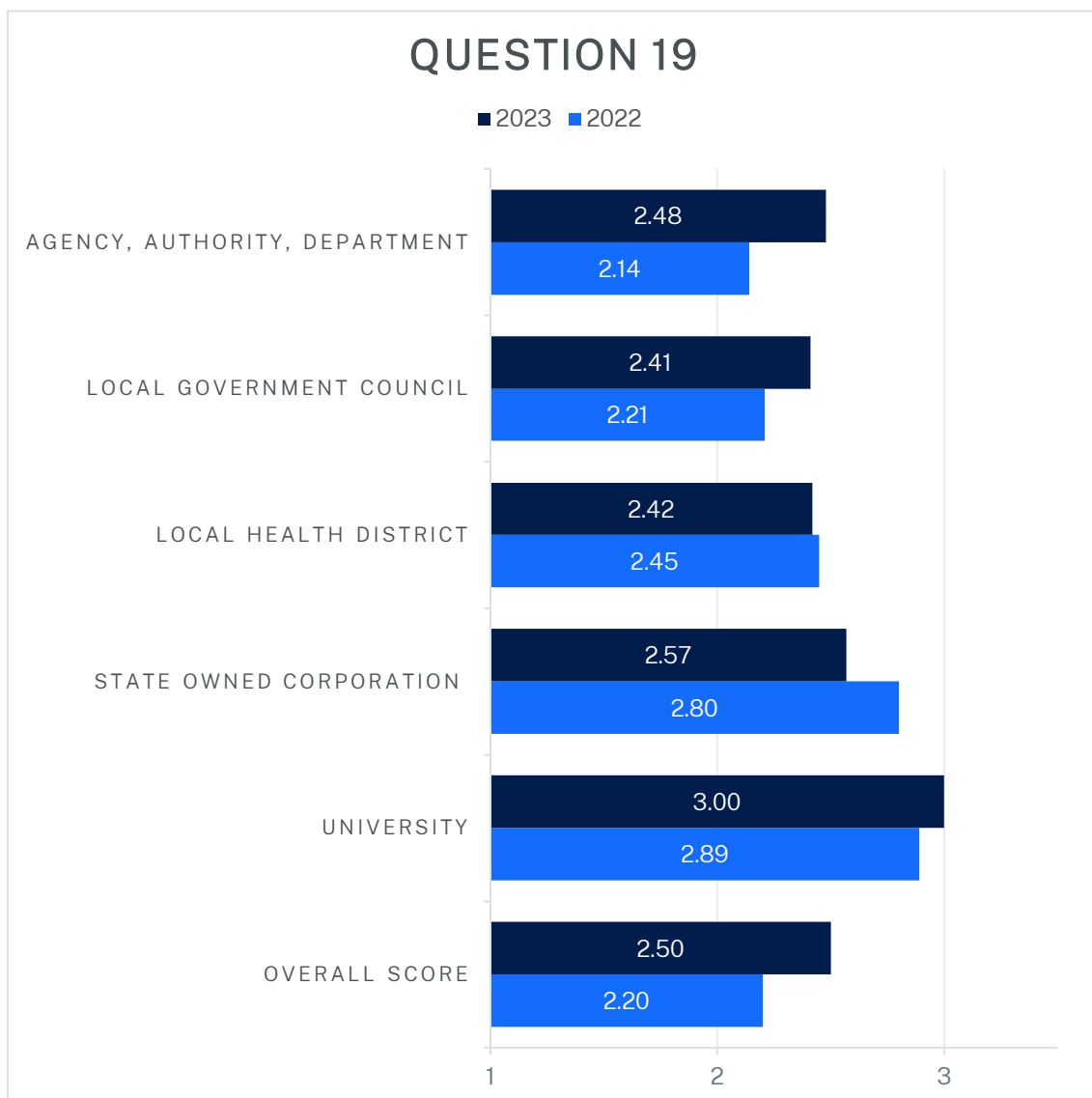


Comments received for this question advised that:

- many public offices have not transferred records or do routine transfer, with some public offices noting that they still require access to the records, and a small number of public offices advising that transfer is not applicable due to the age of the organisation (such as only being in existence for a few years)
- many public offices are planning to transfer, including undertaking work to identify records that need to be transferred, while some public offices noted that they were preparing transfer plans and had consulted with MHNSW on proposed transfers
- some public offices noted that transfer was done on an ad hoc basis, often in response to office relocations, digitisation programs, or decommissioning of systems
- some public offices noted that they do not have the resources to undertake transfer.

4.19 Question 19 – Access Directions

This question asks if the public office has made access directions to enable public access to the State records for which it is responsible.



The *State Records Act 1998* requires that each public office makes access directions for all State records that it has control of which are over 30 years old.* The access direction is registered with MHNSW and identifies if a series, group or class of records is open to public access or closed to public access.

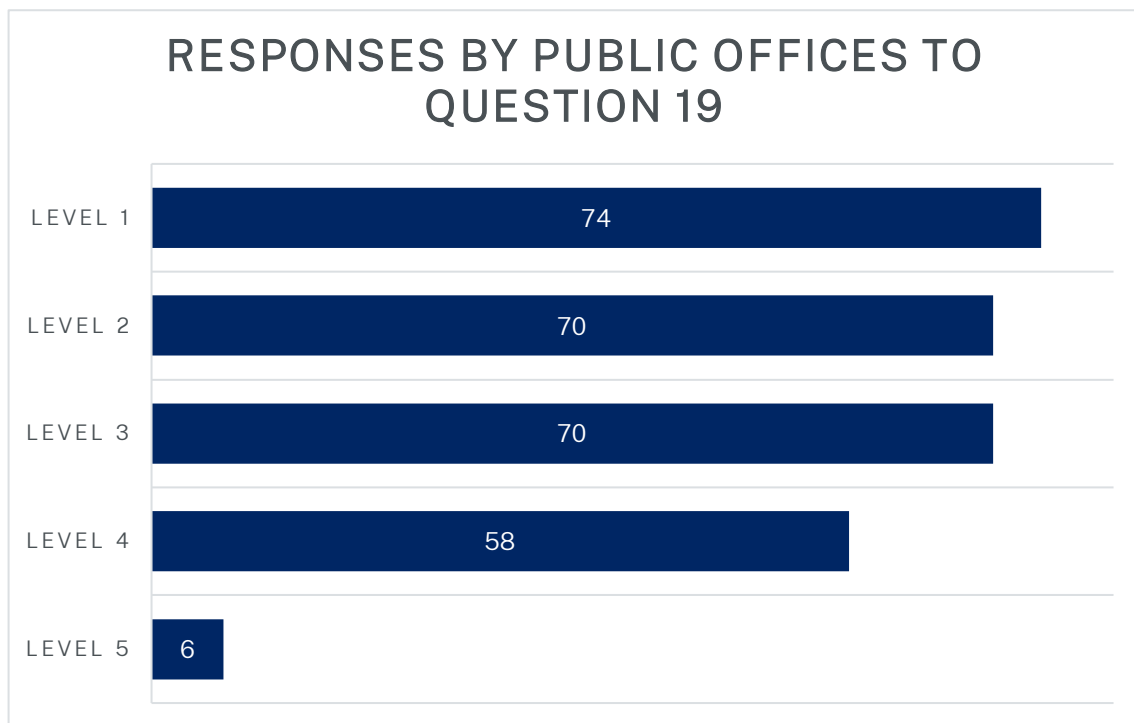
The overall total score for this question has improved from **2.2** in 2022 to **2.5** in 2023.

The University public office type is compliant with this question.

**Changes to the State Records Act 1998 which take effect on 1 January 2024 will reduce the 30 year period to 20 years. Public offices will need to make access directions for any sensitive State records that it has control of, which are over 20 years old and that they deem should be closed to public access.*

Level of compliance (based on responses to question)	Percentage	Number
Public offices compliant with requirements of question	48%	134
Public offices not compliant with requirements of question	52%	144
Total	100%	278

The table above shows the level of compliance while the graph below shows the how public offices responded to the question.



Comments received for this question advised that:

- many public offices reported that they had no access directions in place
- some public offices noted that they have some access directions (some have been in place for many years)
- a number of public offices reported that access directions are often made on an ad hoc basis
- many public offices reported that they are planning to review access directions, or are working with MHNSW to make access directions in 2023, or planning projects to identify records which require access directions and then develop the access directions
- a number of public offices advise that access directions are not applicable due to the age of the organisation (such as only being in existence for a few years).

5 Results by each public office type

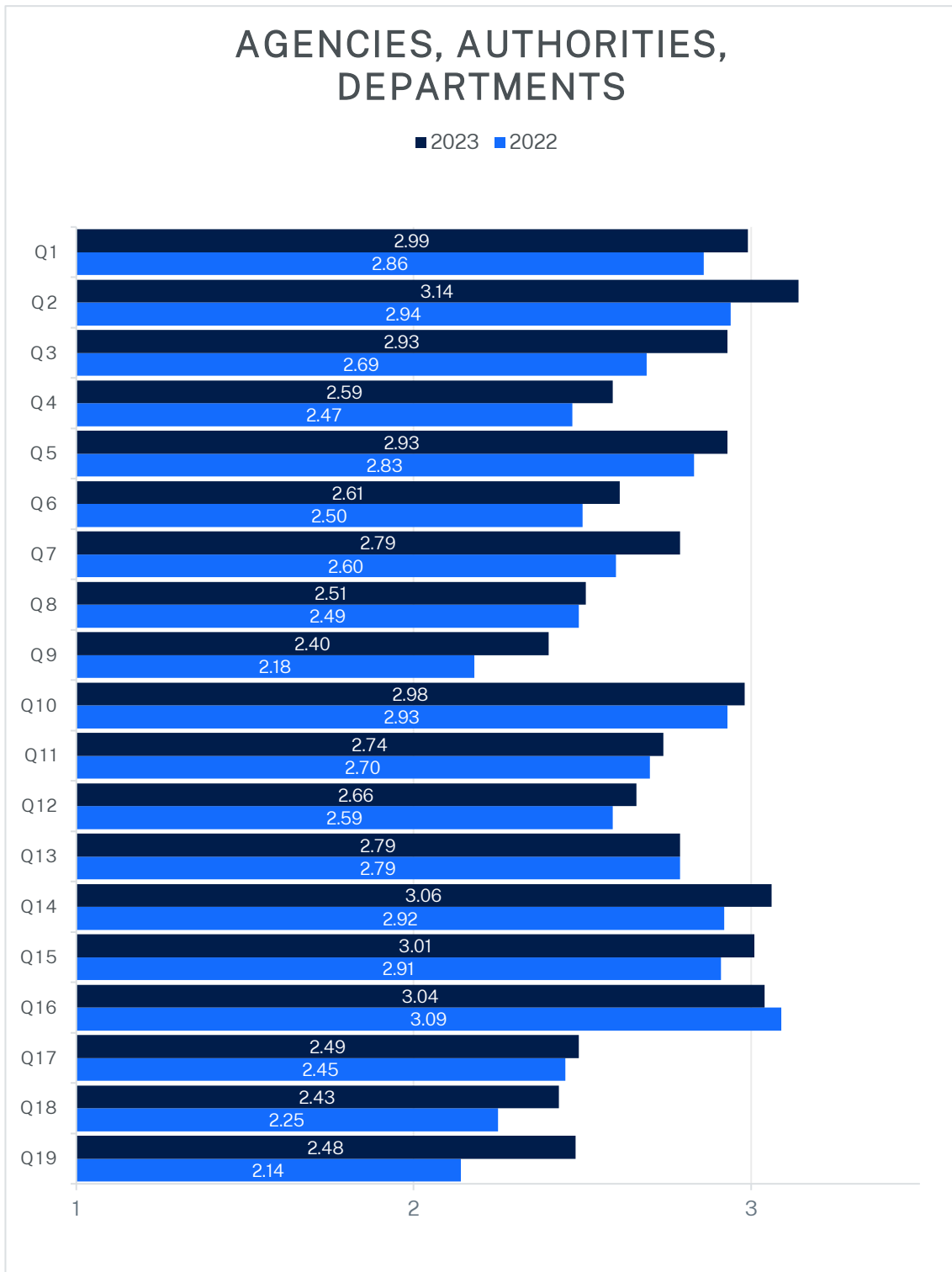
The individual scorecards for the different types of public offices (see below) provide further understandings on the average results for each question and also enable us to see how each public office type of the jurisdiction is performing.

Interestingly in 2023, while each public office type's overall level of maturity has improved, there are fluctuations in the results for individual questions:

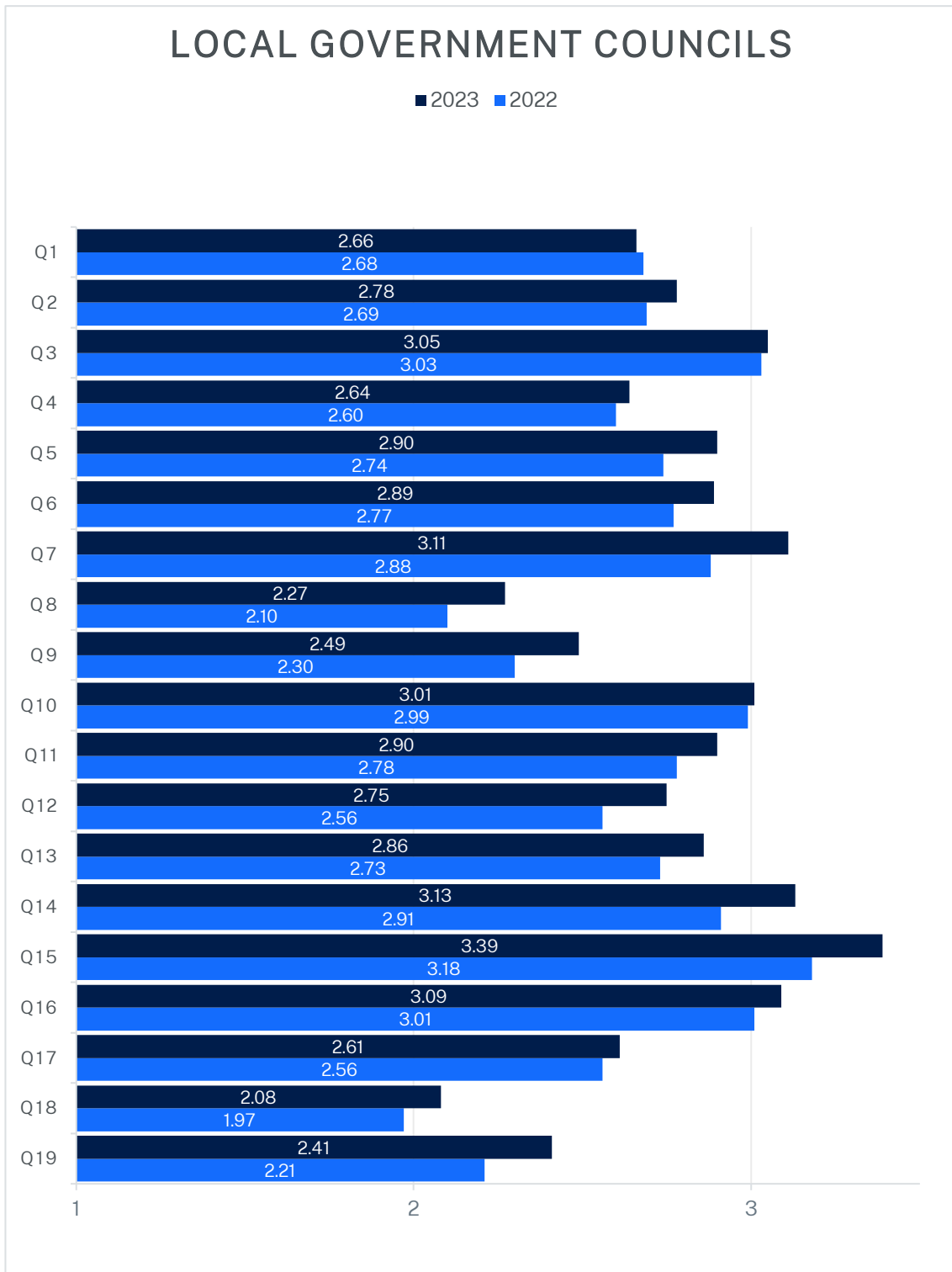
- Agencies, Authorities and Departments have improved in all questions except for Question 13 and Question 16
- Local Government Councils have improved in all questions except for Question 1
- Universities have made small improvements in some questions, but results have decreased in many questions
- Local Health Districts have made improvements in a range of questions
- State Owned Corporations have made some small improvements in some questions, but results have decreased in many questions.

These changes in results from 2022 to 2023 could reflect 'corrections' to assessments, or the impact of increased numbers of public offices in a particular public office type participating in the monitoring exercise and thus having an impact on the average score per question. It is anticipated that a comparison of three years of data in 2024 will give a better understanding of the current levels of maturity for each question.

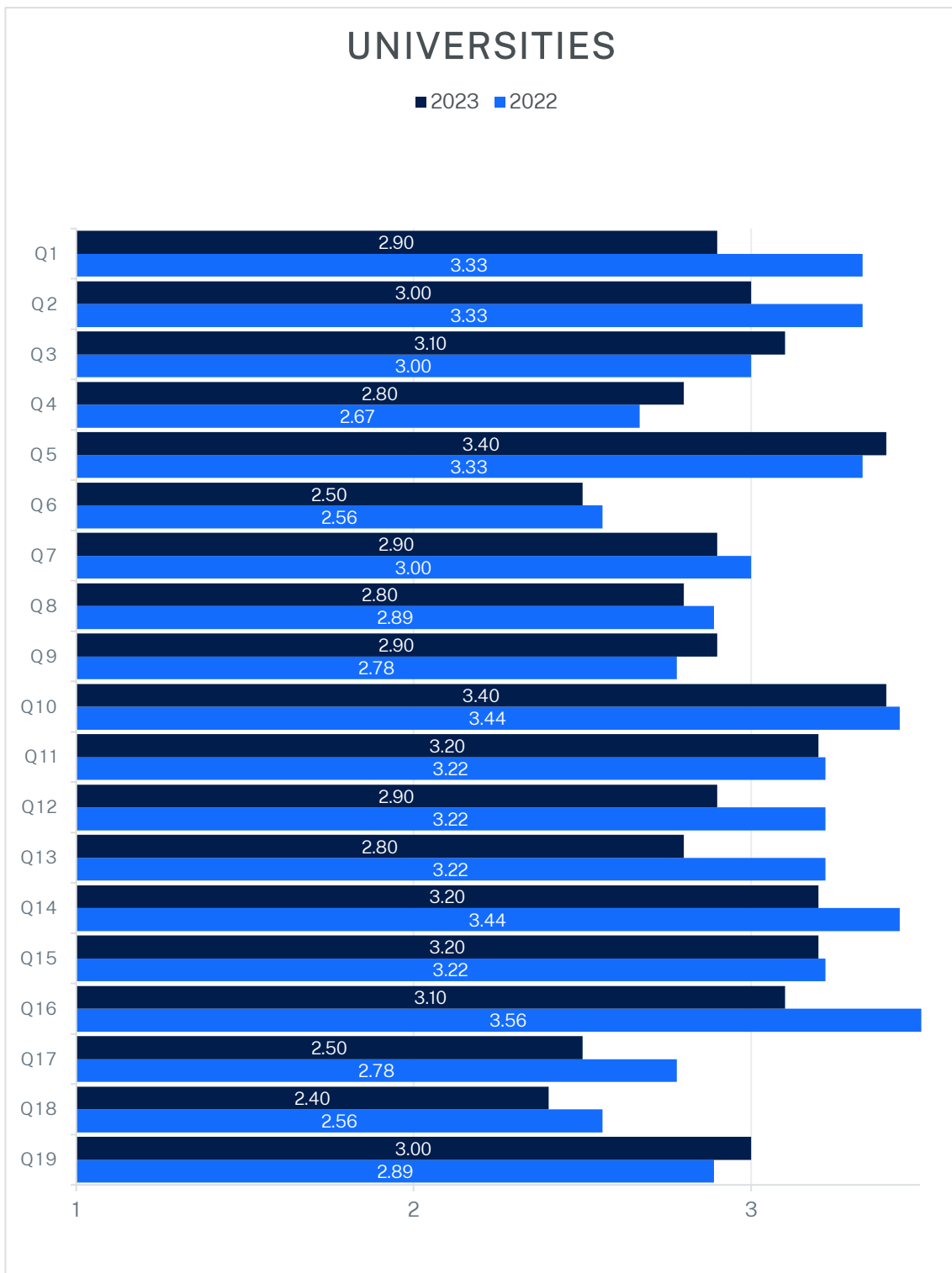
5.1 Agencies, Authorities, Departments



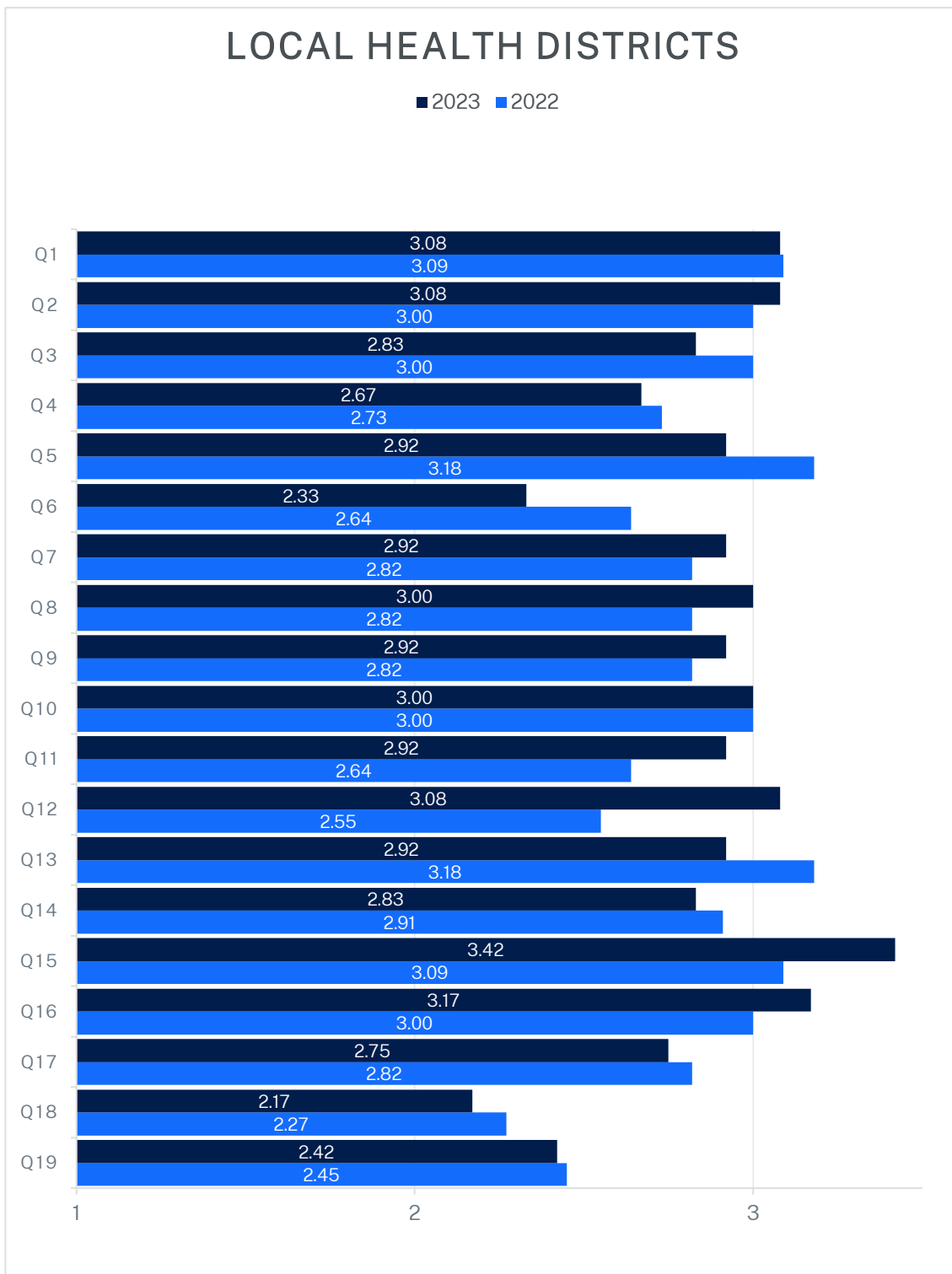
5.2 Local Government Councils



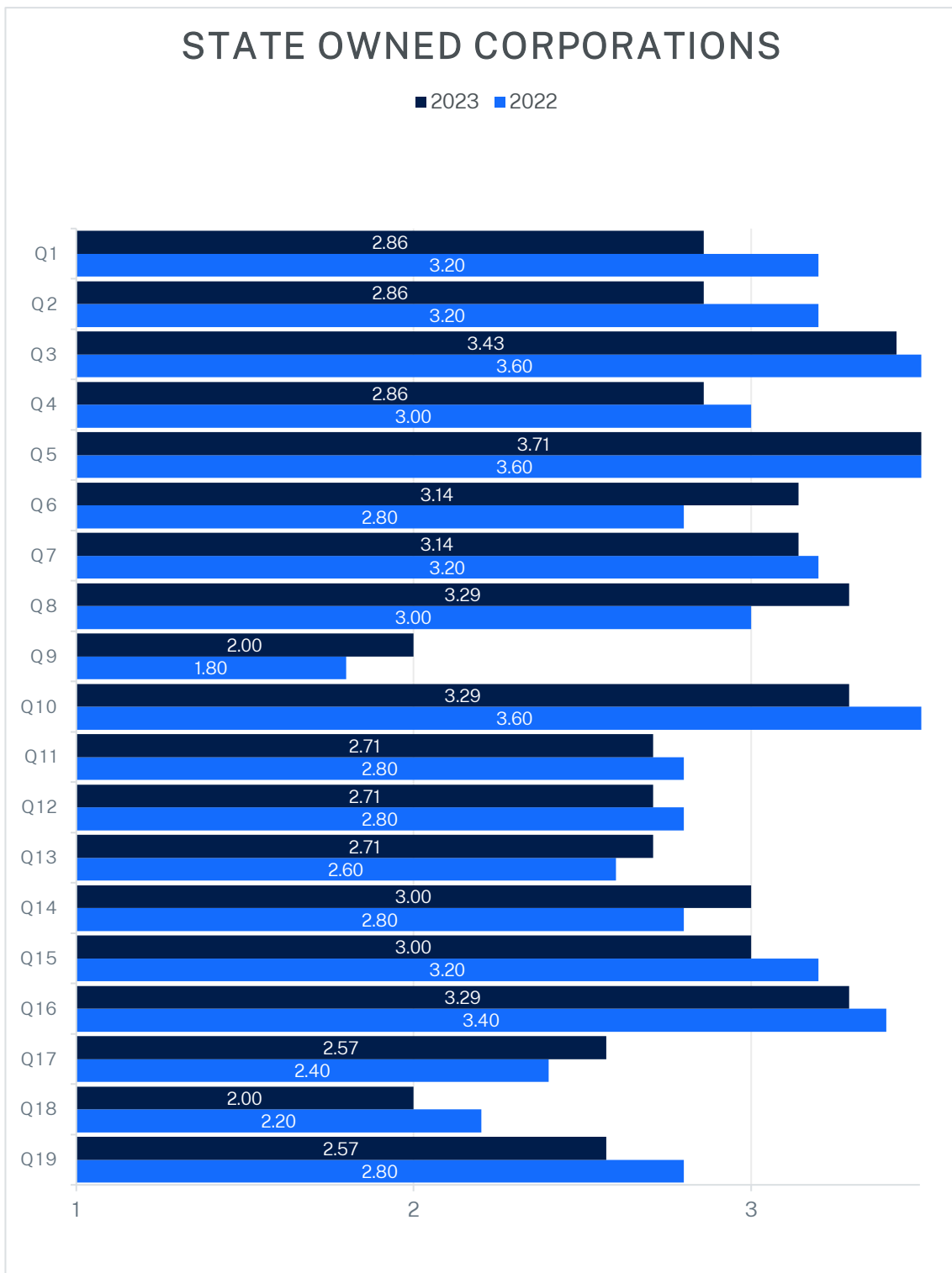
5.3 Universities



5.4 Local Health Districts



5.5 State Owned Corporations



6 Appendix A

Public offices that did not respond to the 2023 Recordkeeping Monitoring Exercise

1. Aboriginal and Torres Strait Islander Health Practice Council
2. Advocate for Children and Young People
3. Art Gallery of NSW
4. Australian Children's Education and Care Quality Authority (ACECQA)
5. Bellingen Shire Council
6. Border Fence Maintenance Board
7. Bourke Shire Council
8. Brewarrina Shire Council
9. Castlereagh Macquarie County Council
10. Children's Court Clinic
11. Chinese Medicine Council of NSW
12. Chiropractic Council of NSW
13. Clarence Valley Council
14. Coonamble Shire Council
15. Dental Council of NSW
16. Dubbo Regional Council
17. Dungog Shire Council
18. Gilgandra Shire Council
19. Greater Sydney Parklands
20. Hunter and Central Coast Development Corporation
21. Independent Liquor and Gaming Authority
22. Inner West Council
23. Jenolan Caves Reserve Trust
24. Kempsey Shire Council
25. Lane Cove Council
26. Legal Profession Admission Board
27. Liverpool City Council
28. Local Government Grants Commission
29. Lockhart Shire Council
30. Medical Council of NSW
31. Medical Radiation Practice Council of NSW
32. Mid North Coast Local Health District
33. Multicultural NSW
34. Murrumbidgee Council
35. Murrumbidgee Local Health District
36. Muswellbrook Shire Council
37. Narromine Shire Council
38. Natural Resources Access Regulator
39. Natural Resources Commission
40. NSW Aboriginal Housing Office
41. NSW Ageing and Disability Commission
42. NSW Land and Housing Corporation
43. NSW Skills Board
44. NSW State Parole Authority
45. NSW Trustee & Guardian
46. Nursing and Midwifery Council of NSW
47. Occupational Therapy Council of NSW
48. Office of the Legal Services Commissioner
49. Optometry Council of NSW
50. Osteopathy Council of NSW
51. Paramedicine Council of NSW
52. Pharmacy Council of NSW
53. Physiotherapy Council of NSW
54. Planning Panels
55. Podiatry Council of NSW
56. Psychology Council of NSW
57. Serious Offenders Review Council
58. Shoalhaven City Council
59. Solicitor General and Crown Advocate
60. Southern NSW Local Health District
61. Upper Hunter County Council
62. Walgett Shire Council
63. Warren Shire Council
64. Warrumbungle Shire Council
65. Weddin Shire Council
66. Wollondilly Shire Council
67. Yass Valley Council

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