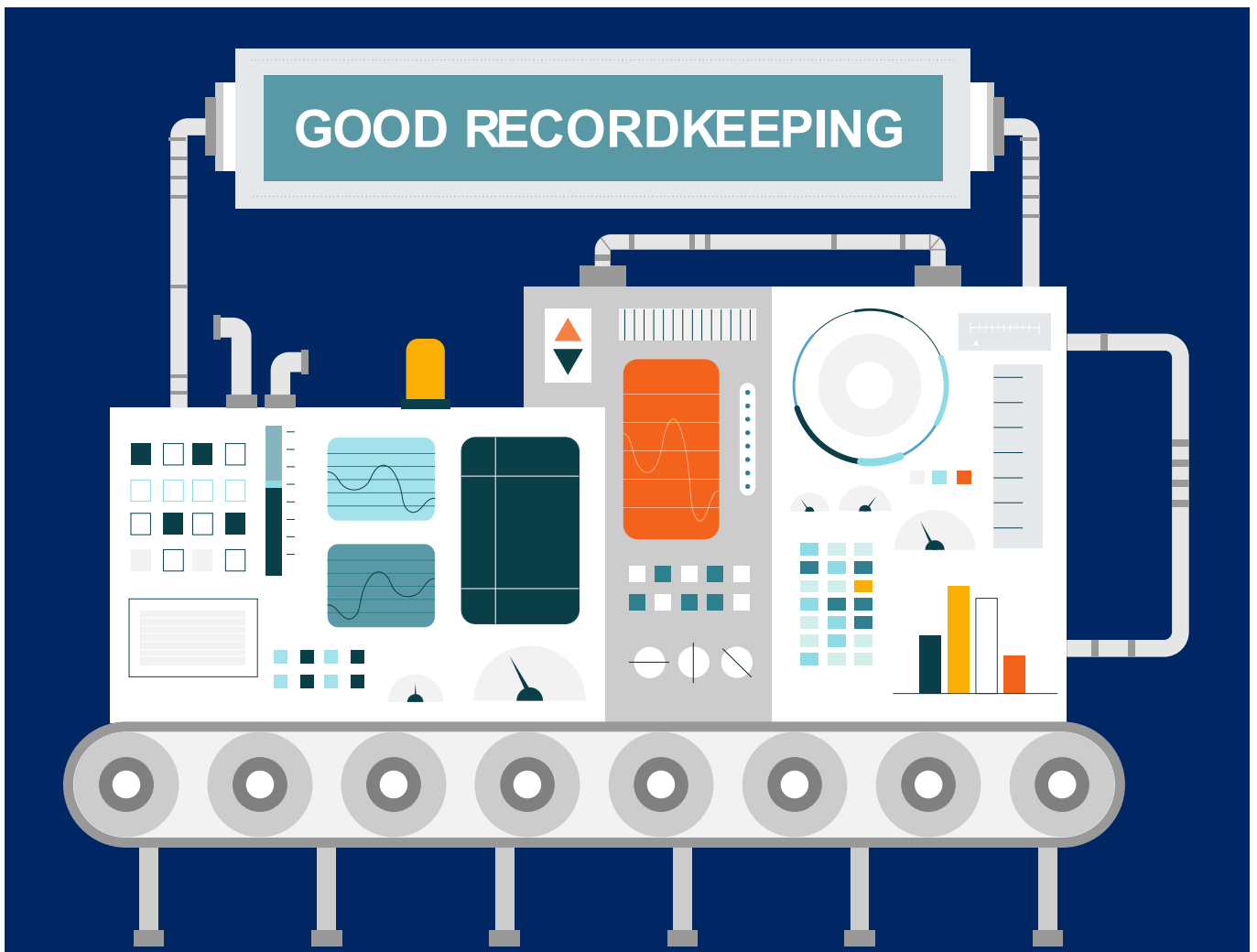


State of recordkeeping in NSW 2024

Whole of government report

August 2024



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 who contributed to the development of this report.

State of recordkeeping in NSW 2024

Published by State Records NSW

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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 third annual Recordkeeping Monitoring Exercise in 2024. The Exercise requested public offices in NSW to carry out a self-assessment and rate the maturity of their recordkeeping using the Records Management Assessment Tool (RMAT) developed by State Records NSW.

Key findings:

- **289** public offices **participated** in the Monitoring Exercise in 2024, up from **278** in 2023.
- This represents a **response rate** of **77%** in 2024, up from **74%** in 2023. Those who did not submit a response are listed at *Appendix A*.
- **50%** of *participating public offices* in 2024 have scores which identify them as having achieved baseline compliance or better in their records management, up from **38%** in 2023.
- In 2024, the overall records management **maturity score** is **2.93 out of 5**, up from **2.79** in 2023.
- **Nine** of the 19 assessment questions have a jurisdiction average score that is now **above baseline compliance** (; Question 2 – Identification and mitigation of information risk; Question 3 – Assigning responsibility for records and information management to a Senior Responsible Officer; Question 5 – Approved Records Management Policy; Question 7 – Records and Information Management Capability and Capacity; Question 10 – Security and protection of records; Question 14 – Designing records management into IT systems; Question 15 – Creating, collecting and capturing records; Question 16 – Storage of records; Question 19 – Access Directions for State records).
- Jurisdiction average scores improved for the **lowest scoring** assessment questions in 2023 (Question 8 – Outsourcing & contracts, Question 9 – Performance monitoring, Question 18 – Transfer to the State Archives Collection, and Question 19 – Access Directions for State records).

State Records NSW has advised public offices that we will not conduct a Recordkeeping Monitoring Exercise in 2025. This approach is being taken to ensure that public offices have sufficient time to make any changes required as a result of the current review of standards and the Code of Best Practice, which provide the basis for the RMAT questions. State Records NSW will advise public offices in 2025 of the approach to be taken in future Exercises.

Martyn Killion
Executive Director, State Records NSW

1 Recordkeeping Monitoring Exercise 2024

State Records NSW has conducted an annual Recordkeeping Monitoring Exercise with public offices since 2022. 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.

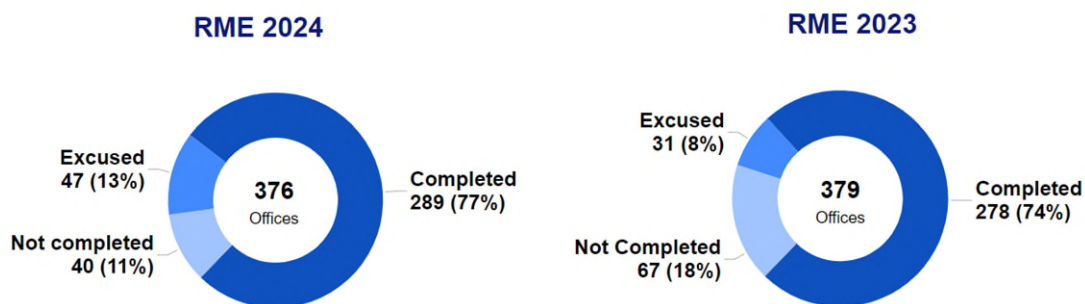
The RMAT consists of 19 questions covering all the obligations contained in the *State Records Act 1998*, the *Standard on records management*, and the *Standard on physical storage of State records*. Questions are grouped into three topic categories: People & Governance, Systems & Business, and Information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

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>

Scoring of the individual levels enables the results of the assessment to be presented as a numerical outcome. An average score is derived for each public office assessment, enabling the public office to receive an overall score out of 5 for maturity and compliance. The average of all scores for public office assessments is used to create an overall records management maturity score out of 5 for the jurisdiction.

1.1 Participation in the 2024 Monitoring Exercise

We asked all 376 public offices to provide a submission during the reporting period of 1 March–5 April 2024. Of these, 289 public offices made submissions (a 77% response rate). This is an increase from 278 submissions (a 74% response rate) for the 2023 Recordkeeping Monitoring Exercise.



We did not receive responses from 40 public offices (11% of the jurisdiction), down from 67 public offices (18% of the jurisdiction) in 2023. **Appendix A** of this Report lists the public offices who did not respond to the 2024 Recordkeeping Monitoring Exercise.

As was the case in 2023, a number of public offices were excused from the Recordkeeping Monitoring Exercise for the following reasons:

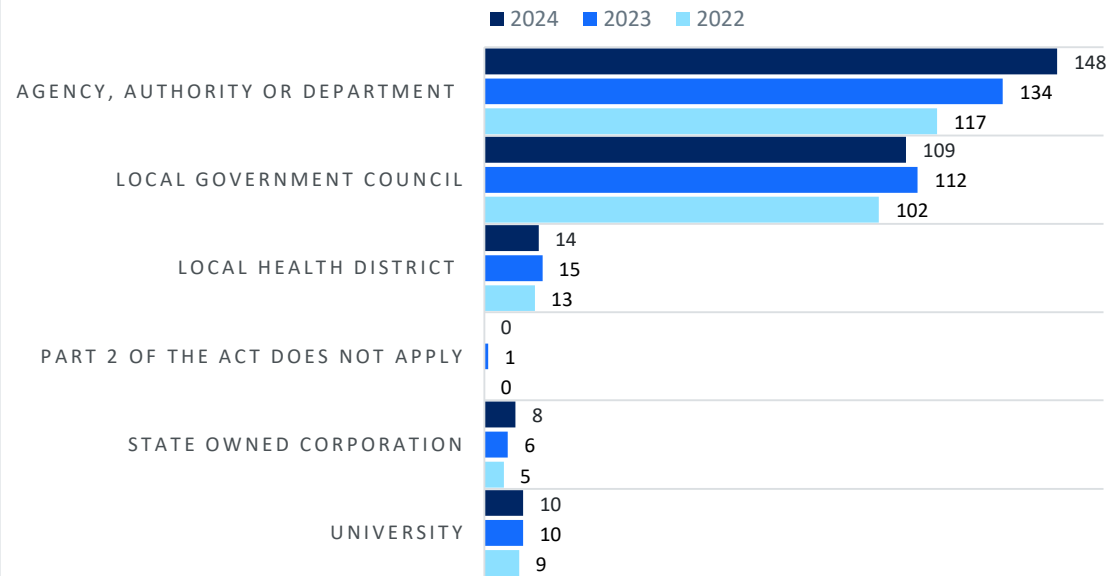
- Part 2 of the State Records Act does not apply to the public office
- public office is an intergovernmental body
- public office is in the process of being privatised, or the
- public office made a specific request to State Records NSW and provided reasons to be excused.

We received responses from:

- 148 Agencies, Authorities or Departments (up from 134 in 2023) *
- 109 Local Government Councils (down from 112 in 2023)
- 14 Local Health Districts (up from 12 in 2023)
- 10 Universities (10 in 2023)
- 8 State Owned Corporations (up from 7 in 2023).

*Note that two public offices had been misclassified in the 2023 data and this has been corrected in the table below.

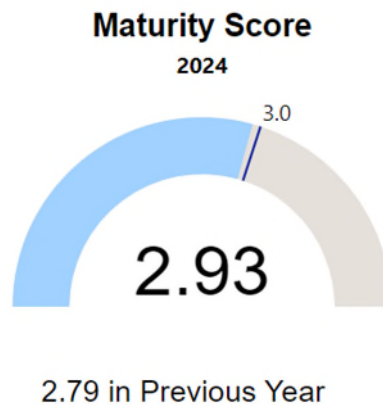
PUBLIC OFFICE PARTICIPATION



2 How is the jurisdiction performing?

The 2024 overall records management maturity score for 2024 is **2.93 out of 5**. While this is still below the baseline level compliance with the *State Records Act 1998* (3 out of 5), it is an improvement on the 2023 overall records management maturity score of **2.79 out of 5**.

Given the 77% response rate, we believe that the results of this year’s Monitoring Exercise are indicative of records management maturity and compliance in the NSW public sector.



In 2024, 50% of *participating public offices* can be identified as having achieved baseline compliance or better 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 38% of *public offices participating* in the 2023 Monitoring Exercise.

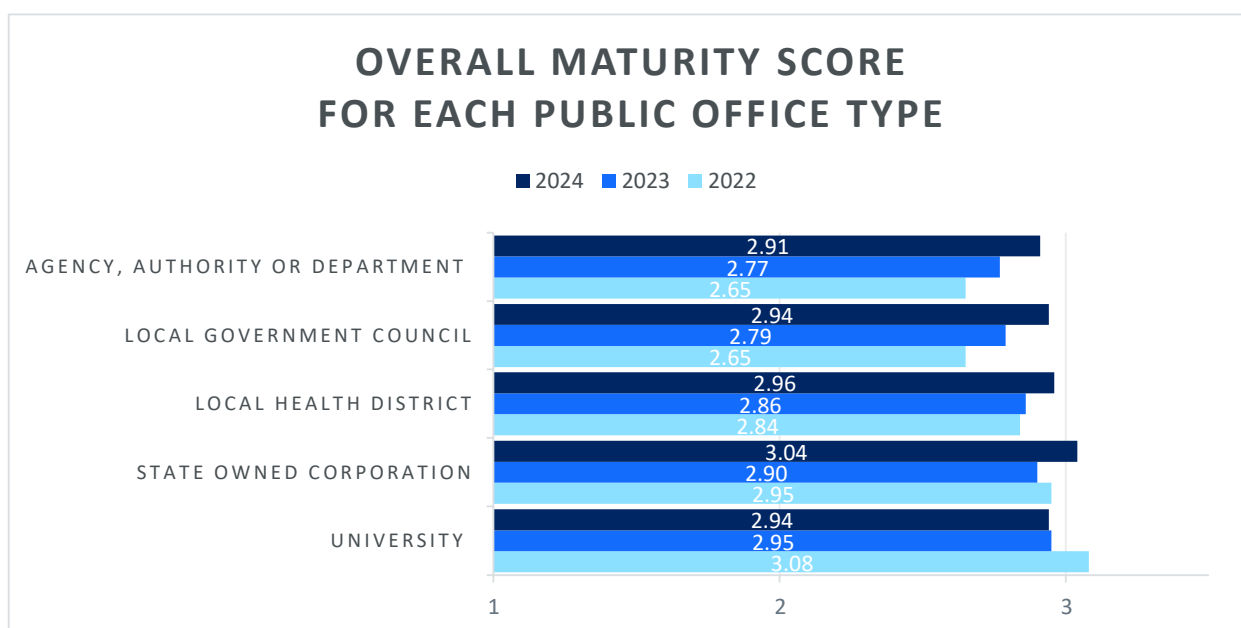
The results also reveal that the number of public offices scoring an ‘initial’ overall maturity score (1 out of 5, see Level 1 below) has decreased. The table below also shows movement from the ‘initial’ (Level 1) to the ‘developing’ maturity category (Level 2 below).

Year	Level 1 Initial maturity	Level 2 Developing maturity	Level 3 Defined	Level 4 Managed	Level 5 Optimising
2024	10	134	132	13	0
2023	20	153	97	8	0
2022	34	139	65	8	0

There have also been improvements in the overall maturity score for all five groups of public offices in the jurisdiction, as shown below:

- Agency, Authority or Department: **2.91 out of 5** (up from 2.77 in 2023)
- Local Government Council: **2.94 out of 5** (up from 2.79 in 2023)
- Local Health District: **2.96 out of 5** (up from 2.86 in 2023)
- State Owned Corporation: **3.04 out of 5** (up from 2.90 in 2023)
- University: **2.94 out of 5** (down from 2.95 in 2023).

Distribution of average scores for all public offices



Improvement is also evidenced in the increasing scores for each RMAT category. Section 3 of this report discusses the average scores for each category in more detail.

2.1 Scores above baseline compliance

This year, the average score for nine RMAT questions is now above the baseline compliance score of 3:

- Question 2 – identification and mitigation of information risk
- Question 3 – assigning responsibility for records and information management to a Senior Responsible Officer
- Question 5 – approved Records Management Policy
- Question 7 – sufficient records and information management capability to support and develop good records management
- Question 10 – security and access controls in place to protect records and information
- Question 14 – ensuring records and information management is addressed in the design and management of IT systems and services
- Question 15 – records and metadata are created, collected and captured across the organisation
- Question 16 – appropriate storage of records
- Question 19 – Access Directions for State records.

2.2 Improvements to previous lowest scores

In reporting on the 2023 Monitoring Exercise we noted that the lowest scores were for Questions 8, 9, 18 and 19. Results for these four questions have improved with Question 19 now above baseline compliance:

- Question 8 on Outsourcing and contracts: increase from 2.46 to 2.55
- Question 9 on Performance Monitoring: increase from 2.46 to 2.63
- Question 18 on State archives transfer: increase from 2.26 to 2.51
- Question 19 on Access Directions: increase from 2.47 to 3.10.

It can be expected that scores for Question 18 will further improve as a result of the stakeholder engagement Museums of History NSW is undertaking to implement the new legislative requirements for transfer planning.

The lowest maturity scores for the 2024 Exercise are provided in section 4 below.

2.3 Review of submissions from public offices

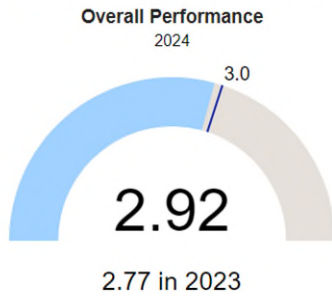
Our review of submissions from public offices indicates that many public offices have not provided information about the evidence used to support the selection of maturity levels. In order to demonstrate an evidence-based assessment, this information should be included in RMAT submissions, and in working papers or draft assessments, in case an oversight agency or an audit and risk committee queries the evidence used to support a response.

Responses in some public office submissions demonstrated limited familiarity with the technical requirements addressed by the questions. We will address these areas with further guidance to assist public offices in their understanding of the technical requirements.

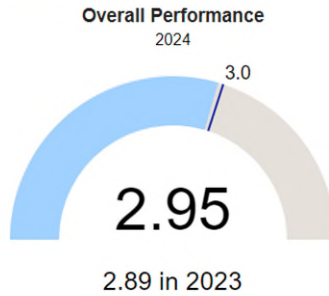
3 Results of each RMAT category

The RMAT is divided into three topic categories: People & Governance, Systems & Business, and Information Management. Looking at the scores for the three categories provides insights into public office capability. The results for 2024 indicate an improvement for each category.

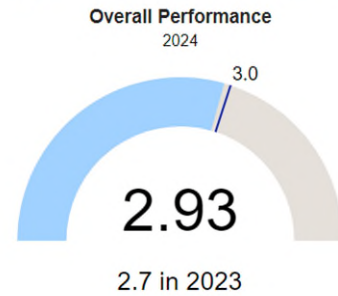
People & Governance



Systems & Business



Information Management



3.1 People & Governance

Questions 1 – 9 of the RMAT

The average score for all public office responses to People & Governance was **2.92 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 only State Owned Corporations (score of 3.15) have achieved baseline compliance in this category.

3.2 Systems & Business

Questions 10 – 14 of the RMAT

The average score for all public office responses to Systems & Business was **2.95 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 only Local Government Councils (score of 3.02) have achieved baseline compliance in this category.

3.3 Information Management

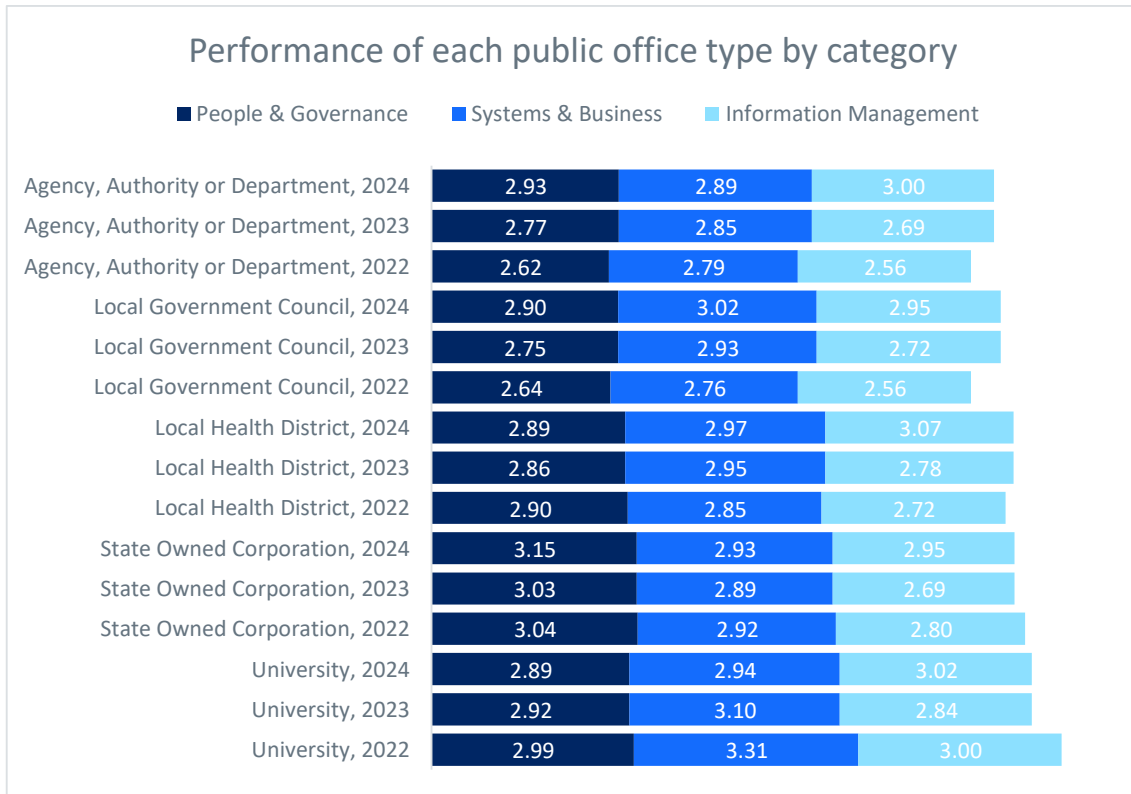
Questions 15 – 19 of the RMAT

The average score for all public office responses to Information Management was **2.93 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 Agency, Authority or Departments (3.00), Local Health Districts (3.07) and Universities (3.02) have achieved baseline compliance in this category.

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









4 Results of each question

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

Average score of all participating public offices against each question

	RMAT 2024	RMAT 2023	RMAT 2022
Q1 Score	2.98	2.85	2.81
Q2 Score	3.14	2.97	2.84
Q3 Score	3.17	3.00	2.87
Q4 Score	2.87	2.63	2.54
Q5 Score	3.08	2.95	2.83
Q6 Score	2.82	2.72	2.62
Q7 Score	3.05	2.94	2.74
Q8 Score	2.55	2.46	2.36
Q9 Score	2.63	2.46	2.26
Q10 Score	3.08	3.01	2.99
Q11 Score	2.89	2.83	2.74
Q12 Score	2.77	2.72	2.60
Q13 Score	2.87	2.82	2.80
Q14 Score	3.14	3.08	2.92
Q15 Score	3.26	3.19	3.06
Q16 Score	3.16	3.07	3.08
Q17 Score	2.65	2.55	2.53
Q18 Score	2.51	2.26	2.15
Q19 Score	3.10	2.47	2.22

Grey cells indicate an average score below baseline compliance of 3.

Lowest maturity levels		Highest maturity levels	
Transfer (Question 18)		Create, collect and capture (Question 15)	
Outsourcing and contracts (Question 8)		Senior Responsible Officer (Question 3)	
Performance monitoring (Question 9)		Storage (Question 16)	

In addition to the overall maturity for each question, we have gained further understandings of performance by looking at the range of scores for each question. This indicates that even for the nine questions with jurisdiction average scores at or above baseline compliance, average scores can conceal significant numbers of public offices that are not compliant (scoring a Level 1 or a Level 2) – in the range of 20-30% of public offices for all but one of the nine questions.

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 2024-2025.

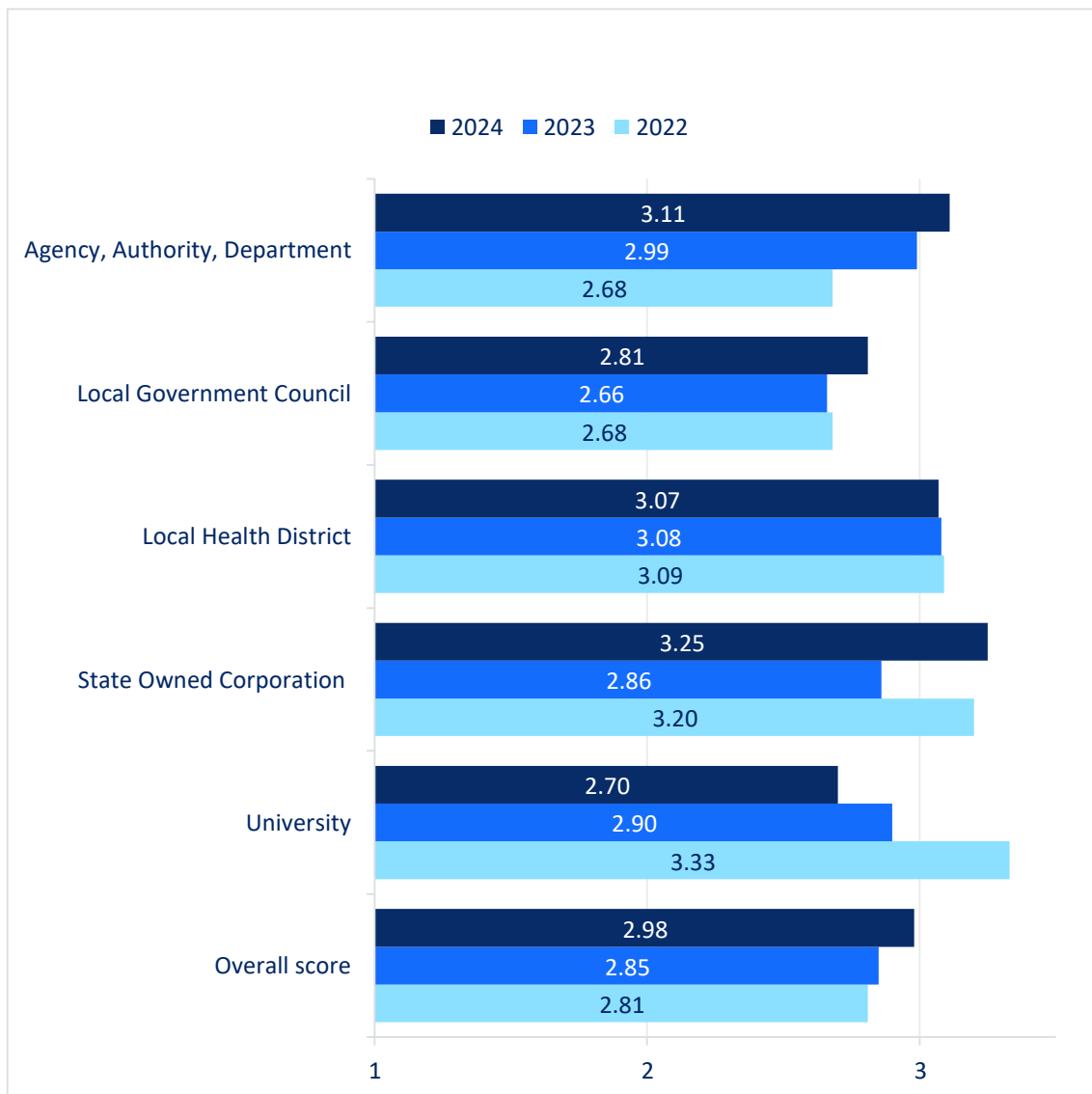
It is likely that results for Question 18 will improve due to the implementation of the legislative changes for transfer planning and the work being undertaken by Museums of History NSW (MHNSW) to support public offices in developing transfer plans.

The scorecards for each question, see pages 15-52, provide further understandings on the 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.

Note: The average score for each question in 2024 has been left unrounded for consistency with the scores displayed for each public office type.

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.



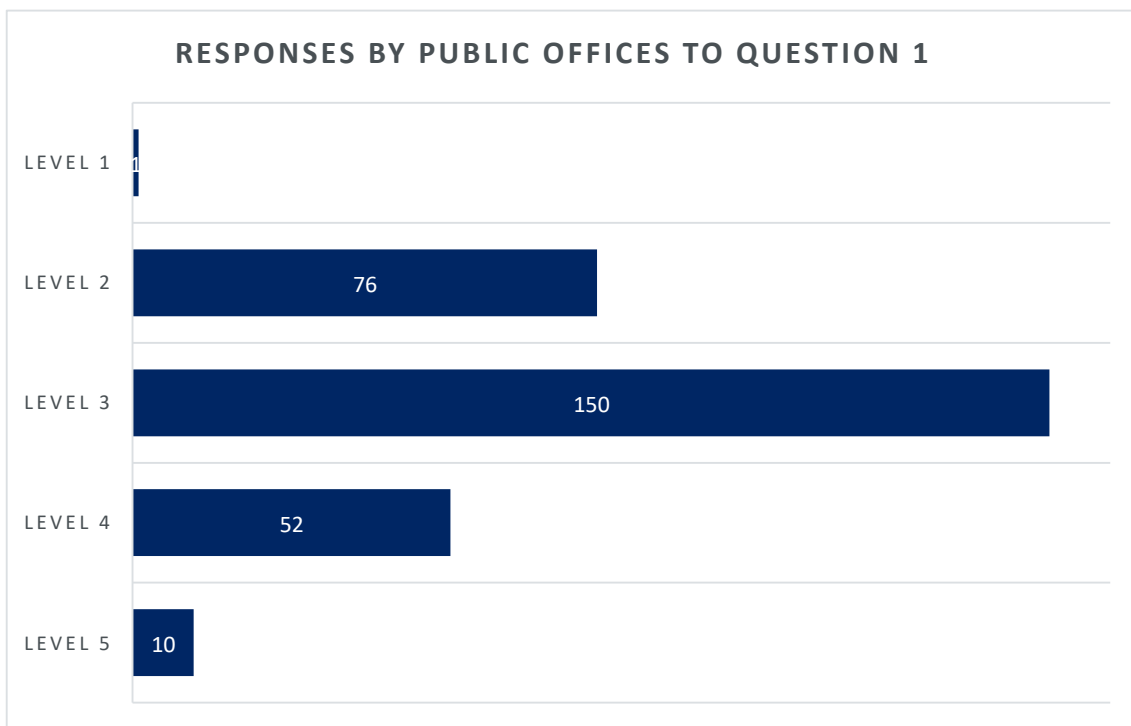
High risk business areas in each public office should be priorities for records and information management activity, to ensure that these records are created, captured, well managed and are allocated appropriate resources and strategies.

The average of all public office scores for this question has improved from **2.85** in 2023 to **2.98** in 2024.

Viewed on the basis of average scores across different sectors of the jurisdiction, the overall performance of Agencies, Authorities and Departments, Local Health Districts and State Owned Corporations can be described as broadly compliant with this question.

Level of compliance (based on responses to question)	Percentage	Number
Public offices compliant with requirements of question	73%	212
Public offices not compliant with requirements of question	27%	77
Total	100%	289

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

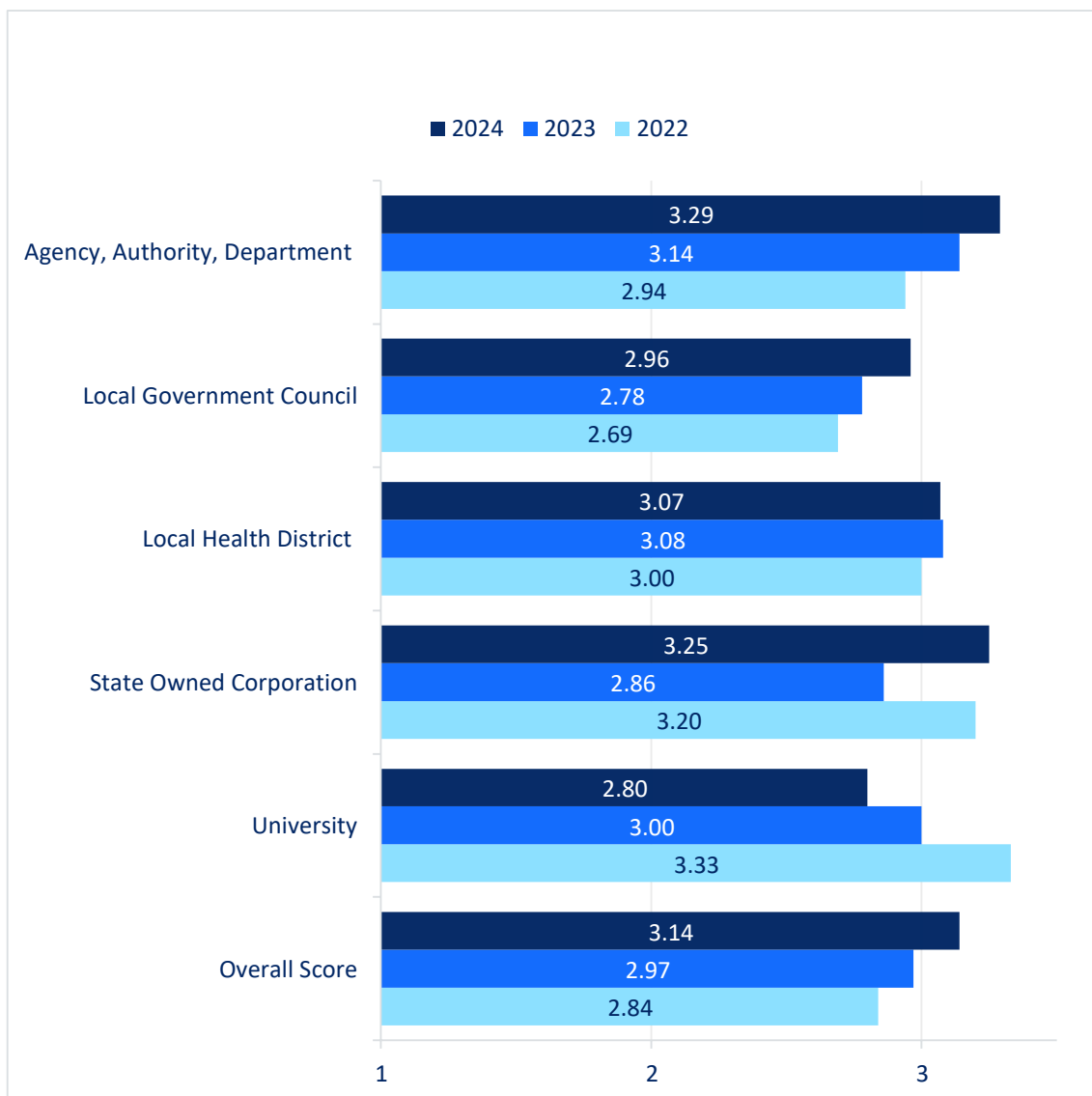


Comments received for this question advised that:

- the majority of public offices continue to work to identify high risk/high value records and build information asset registers
- some public offices are reliant on the policies, processes and frameworks established by their parent cluster to identify and assess high risk/high value records
- recognition of the relationship between identification of high risk/high value records and registers of ‘crown jewels’ required for cyber security attestation is increasing
- the majority of public offices have put measures in place to protect the high risk/high value records, including refining disaster management, business continuity and risk management plans.

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.



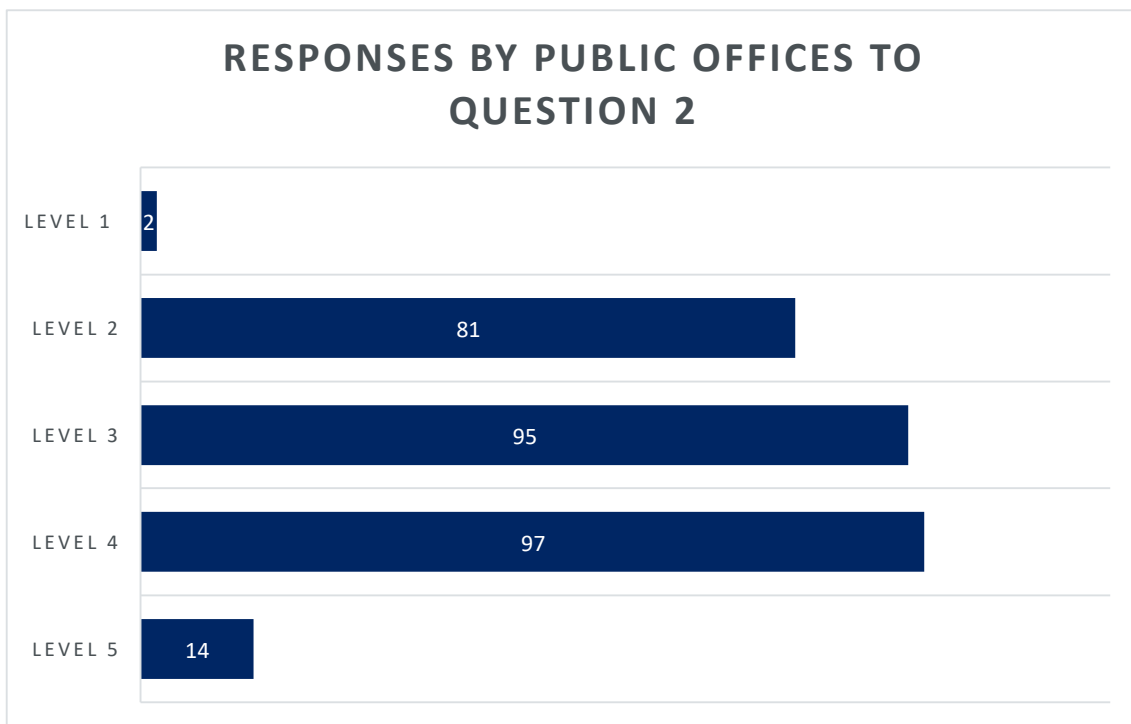
Information risks are related to but distinct from technology risks. Mitigating information risks includes (but is not limited to) protecting records and information from loss, unauthorised access, alteration, and disaster through implementing security measures and business continuity plans.

The average of all public office scores for this question has improved from **2.97** in 2023 to **3.14** in 2024.

Viewed on the basis of average scores across different sectors of the jurisdiction, the overall performance of Agencies, Authorities and Departments, Local Health Districts and State Owned Corporations can be described as broadly compliant with this question, while Local Government Councils can be described as close to compliant.

Level of compliance (based on responses to question)	Percentage	Number
Public offices compliant with requirements of question	71%	206
Public offices not compliant with requirements of question	29%	83
Total	100%	289

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

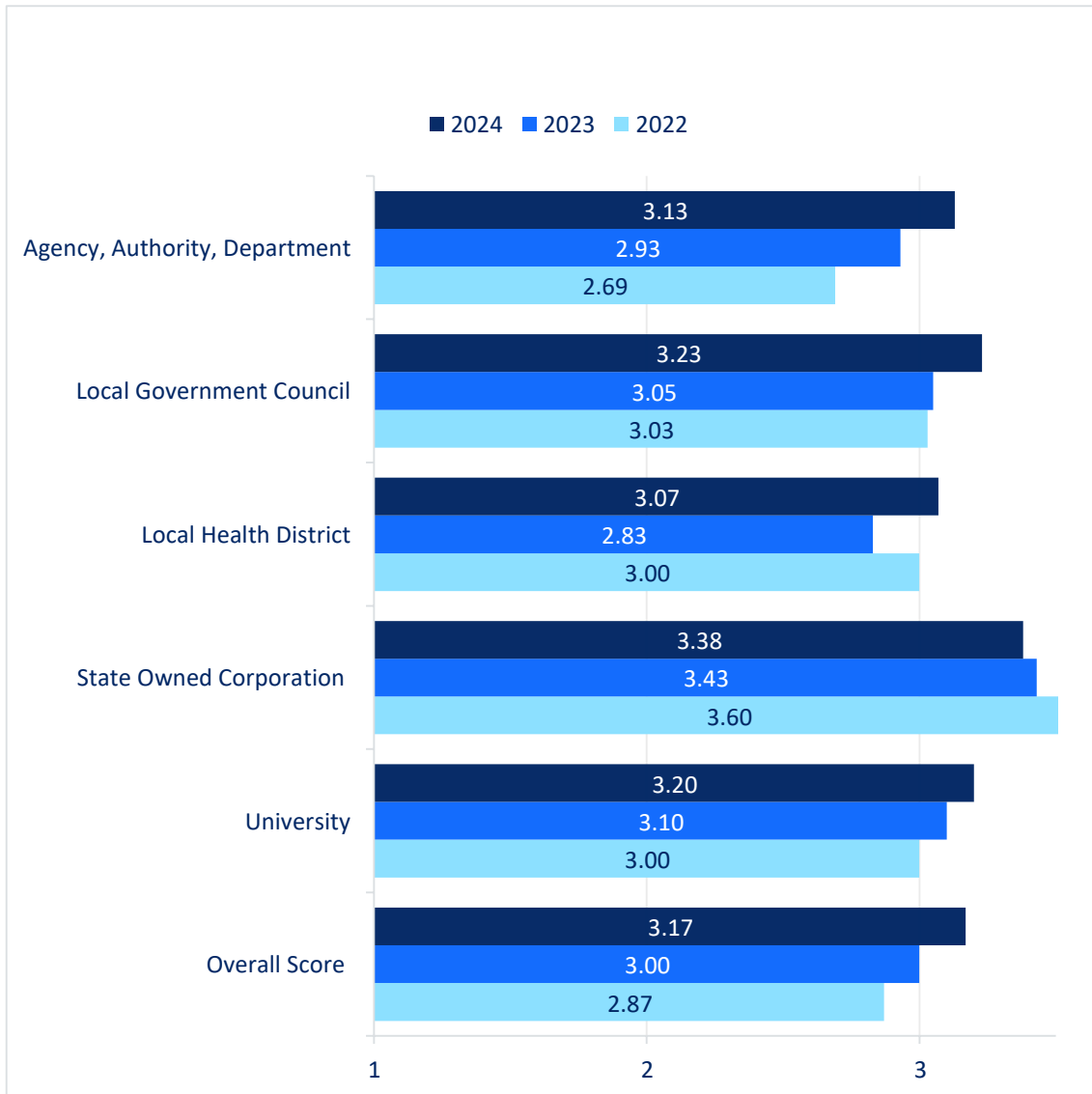


Comments received for this question advised that:

- the majority of public offices have conducted risk assessments or been subject to business or records and information management audits to identify and assess information risks,
- 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
- the majority of public offices are addressing information risk as part of their cyber security initiatives or as part of their ICT risk initiatives
- some public offices are engaging with internal audit and risk committees or establishing internal information governance groups to manage key information risks
- some public offices have risk and mitigation strategies on three-year cycles that are currently being implemented.

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.



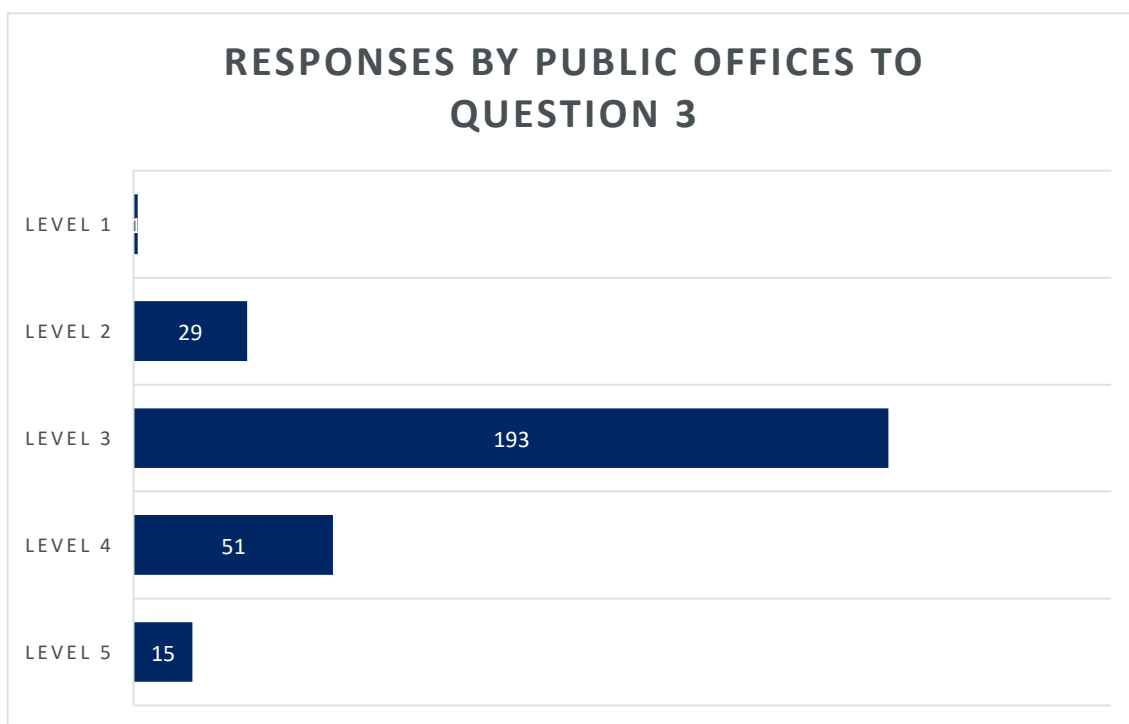
Ultimate responsibility for records management lies with the Chief Executive and senior management, who provide direction and support for records and information management in the public office and ensure that it conforms to business requirements and relevant laws and regulations. The Senior Responsible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

The average of all public office scores for this question has improved from **3.00** in 2023 to **3.17** in 2024.

While all public office types are broadly compliant with this question, a review of the responses indicates that 10% (30) of *participating public offices* are not compliant.

Level of compliance (based on responses to question)	Percentage	Number
Public offices compliant with requirements of question	90%	259
Public offices not compliant with requirements of question	10%	30
Total	100%	289

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

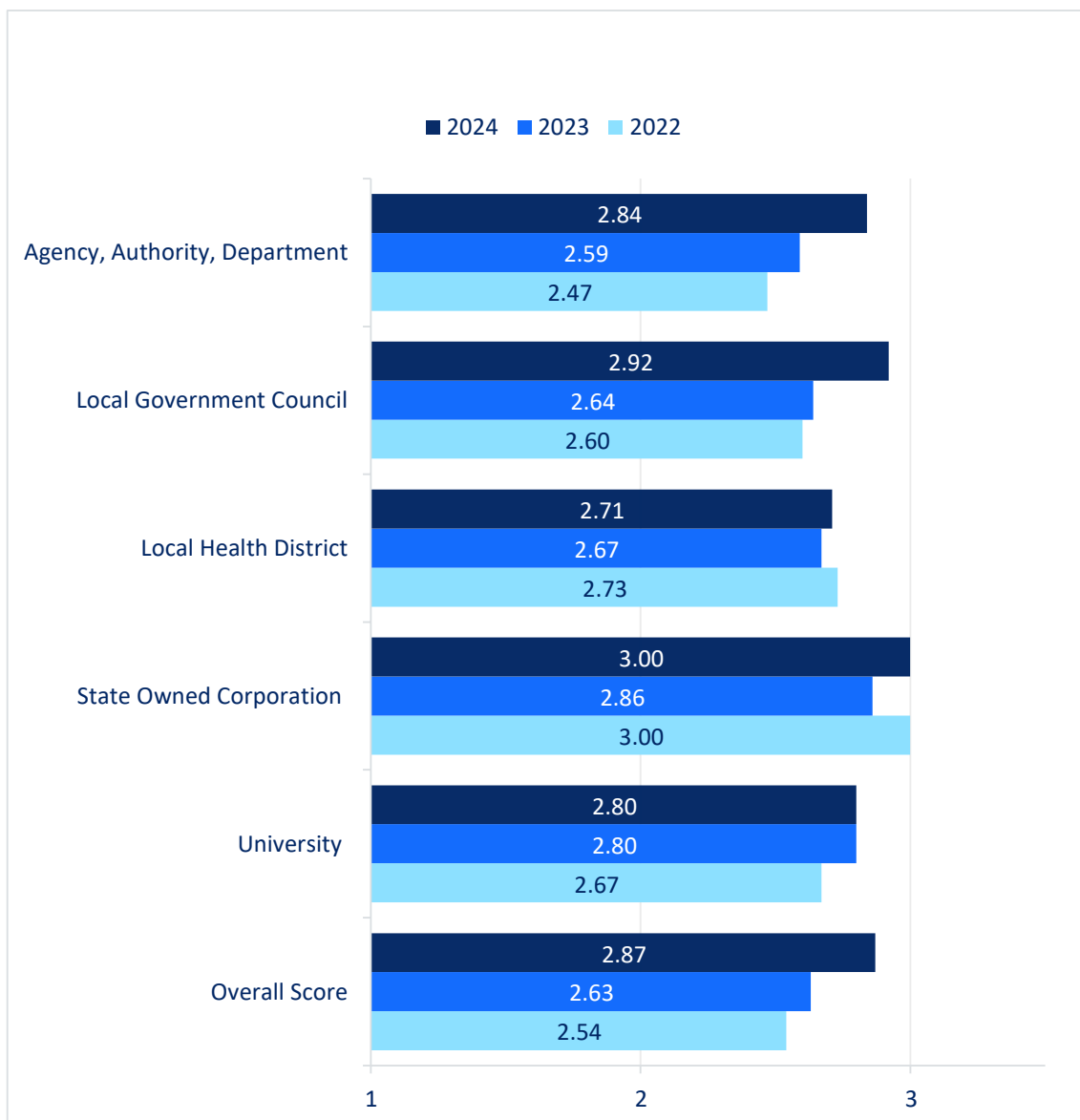


Comments received for this question advised that:

- the majority of public offices have a dedicated Senior Responsible Officer who provides direction and support and reports directly to the Chief Executive Officer or Commissioner
- the majority of public offices have delegated the responsibility for records and information management to a senior manager or a dedicated records and information management team
- some public offices have established information governance committees to support recordkeeping, while some others have not
- some public offices are beginning to embed records, information and data management in position descriptions
- due to insufficient resources, some public offices do not have a dedicated officer responsible for records management, so oversight lies with a director
- some public offices are initiating plans to invest in ongoing programs and staff training.

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.



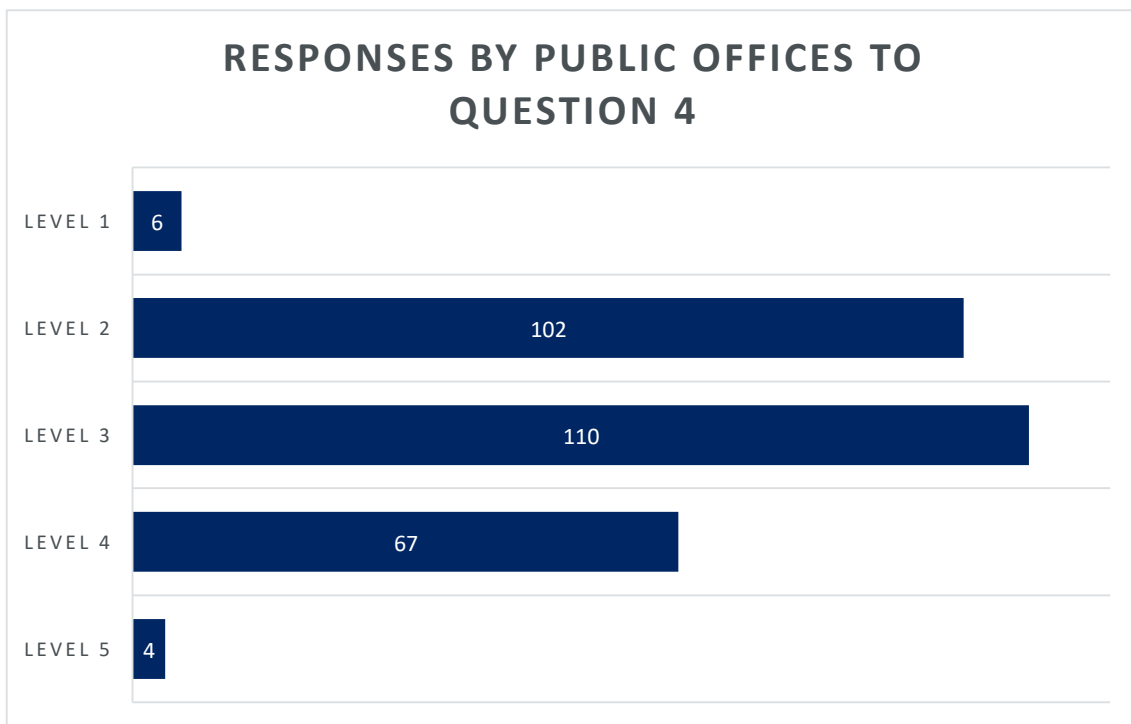
Governance frameworks, including high-level policy and strategy are critical to the achievement of good records management.

The average of all public office scores for this question has improved from **2.63** in 2023 to **2.87** in 2024.

Viewed on the basis of average scores across different sectors of the jurisdiction, the overall performance of State Owned Corporations can be described as broadly compliant with this question, while the Local Government Council office type can be described as close to compliant.

Level of compliance (based on responses to question)	Percentage	Number
Public offices compliant with requirements of question	63%	181
Public offices not compliant with requirements of question	37%	108
Total	100%	289

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

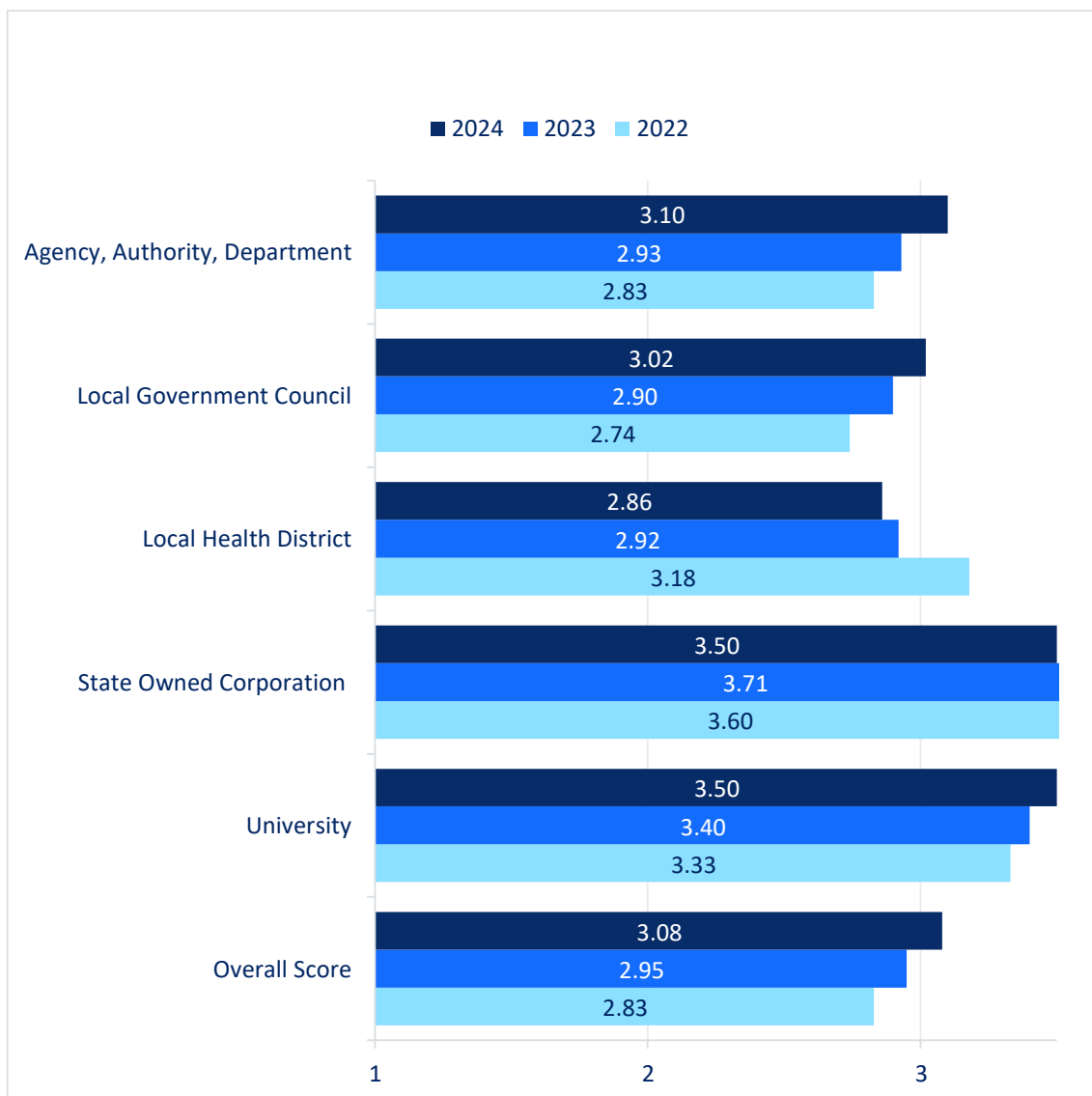


Comments received for this question advised that:

- the majority of public offices have developed or are in the process of developing a records and information strategy
- some public offices follow the directives set by their parent cluster or are moving towards aligning their strategies and programs with those adopted by their parent cluster
- some public offices are developing records and information strategies as part of their governance frameworks or to support the objectives of State strategic or regional operational plans and projects
- for some public offices, records management is a component of their overall strategic ICT or data model
- some public offices do not have a stand-alone strategy but are aware of the risks involved
- there is active awareness of reviewing and updating records and information strategies to reflect changing business needs and information landscape.

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.



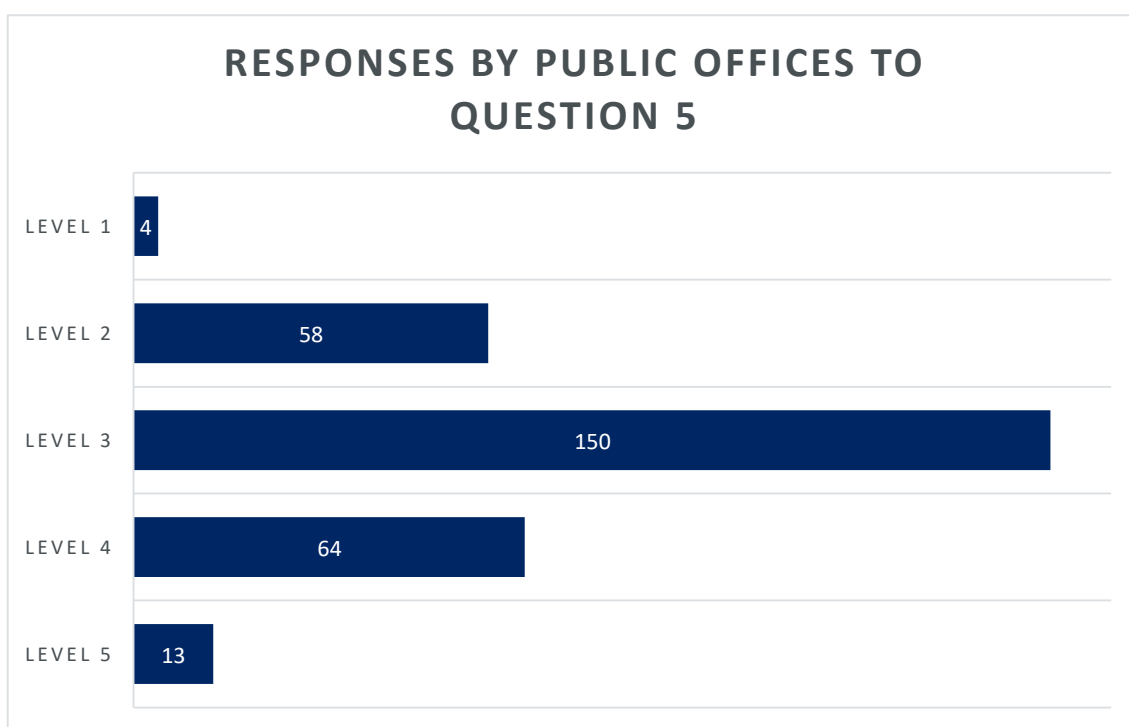
Governance frameworks, including high-level policy and strategy are critical to the achievement of good records management.

The average of all public office scores for this question has improved from **2.95** in 2023 to **3.08** in 2024.

Viewed on the basis of average scores across different sectors of the jurisdiction, the overall performance of Agencies, Authorities and Departments, Local Government Councils, State Owned Corporations and Universities can be described as broadly compliant with this question.

Level of compliance (based on responses to question)	Percentage	Number
Public offices compliant with requirements of question	79%	227
Public offices not compliant with requirements of question	21%	62
Total	100%	289

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

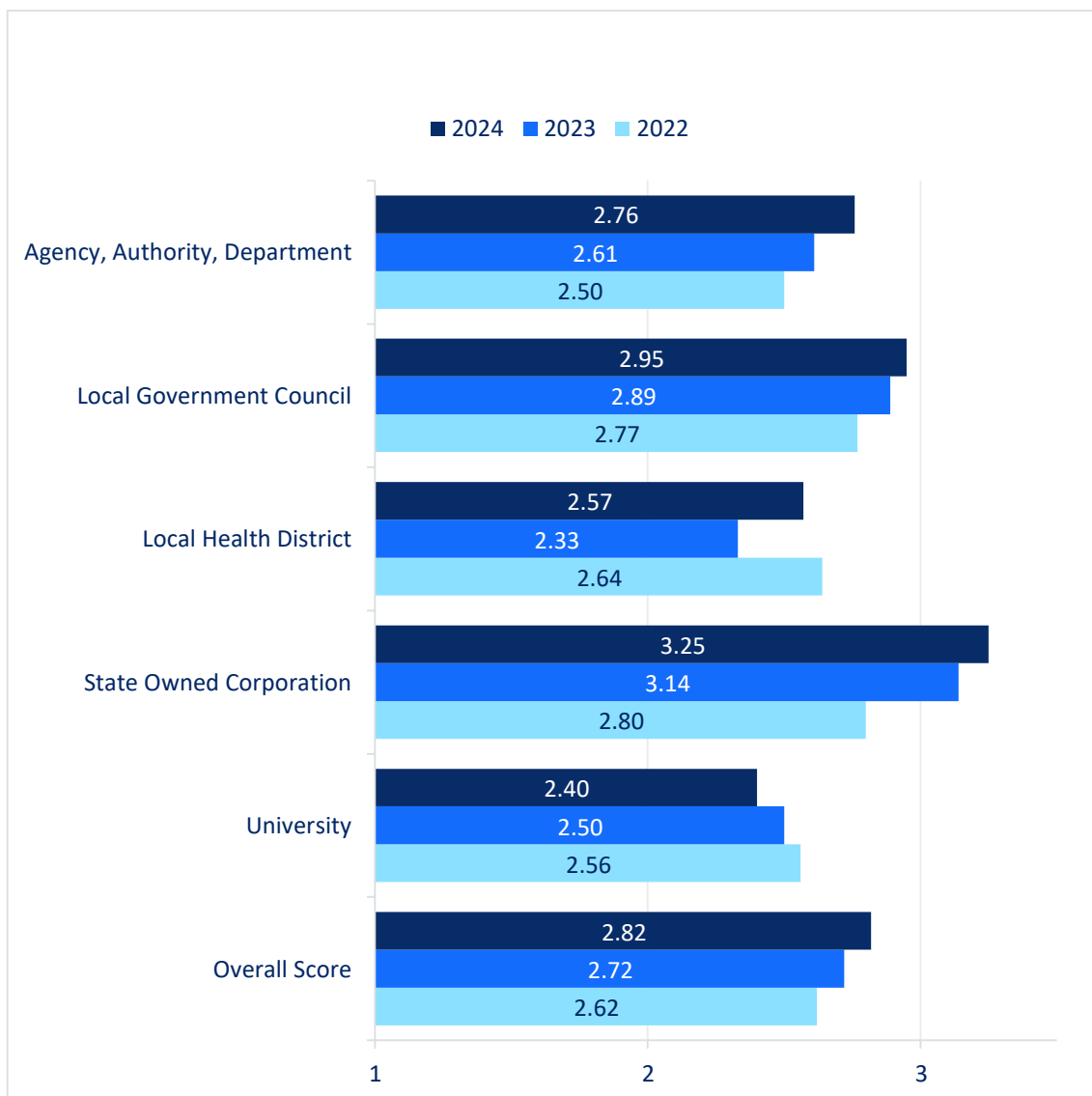


Comments received for this question advised that:

- the majority of public offices are currently developing or reviewing and updating their existing policies, or have regular cycles for policy review
- the majority of 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
- the majority of 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 include familiarity with the records and information management policy as part of the onboarding process for new staff
- some public offices have updated their records and information management policy to accommodate changes to digital technologies, cyber security and privacy requirements and changes to the State Records Act
- some public offices do not have a policy or have not updated their policy in recent years.

4.6 Question 6 – RIM Responsibilities

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



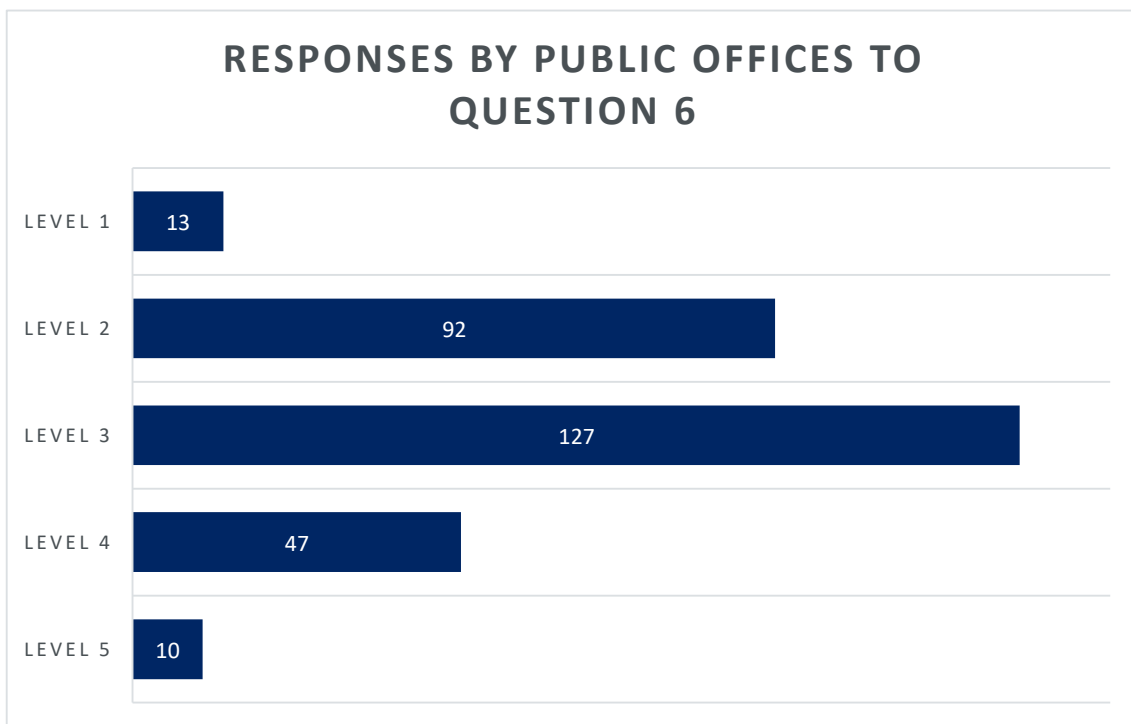
All staff of the public office, including business owners, business systems owners, and contractors, need to understand their records management responsibilities and receive training appropriate to their role. Responsibilities are identified in organisational policy, role descriptions and/or performance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

The average of all public office scores for this question has improved from **2.72** in 2023 to **2.82** in 2024.

Viewed on the basis of average scores across different sectors of the jurisdiction, the overall performance of State Owned Corporations can be described as broadly compliant with this question, while Local Government Councils can be described as close to compliant.

Level of compliance (based on responses to question)	Percentage	Number
Public offices compliant with requirements of question	64%	184
Public offices not compliant with requirements of question	36%	105
Total	100%	289

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

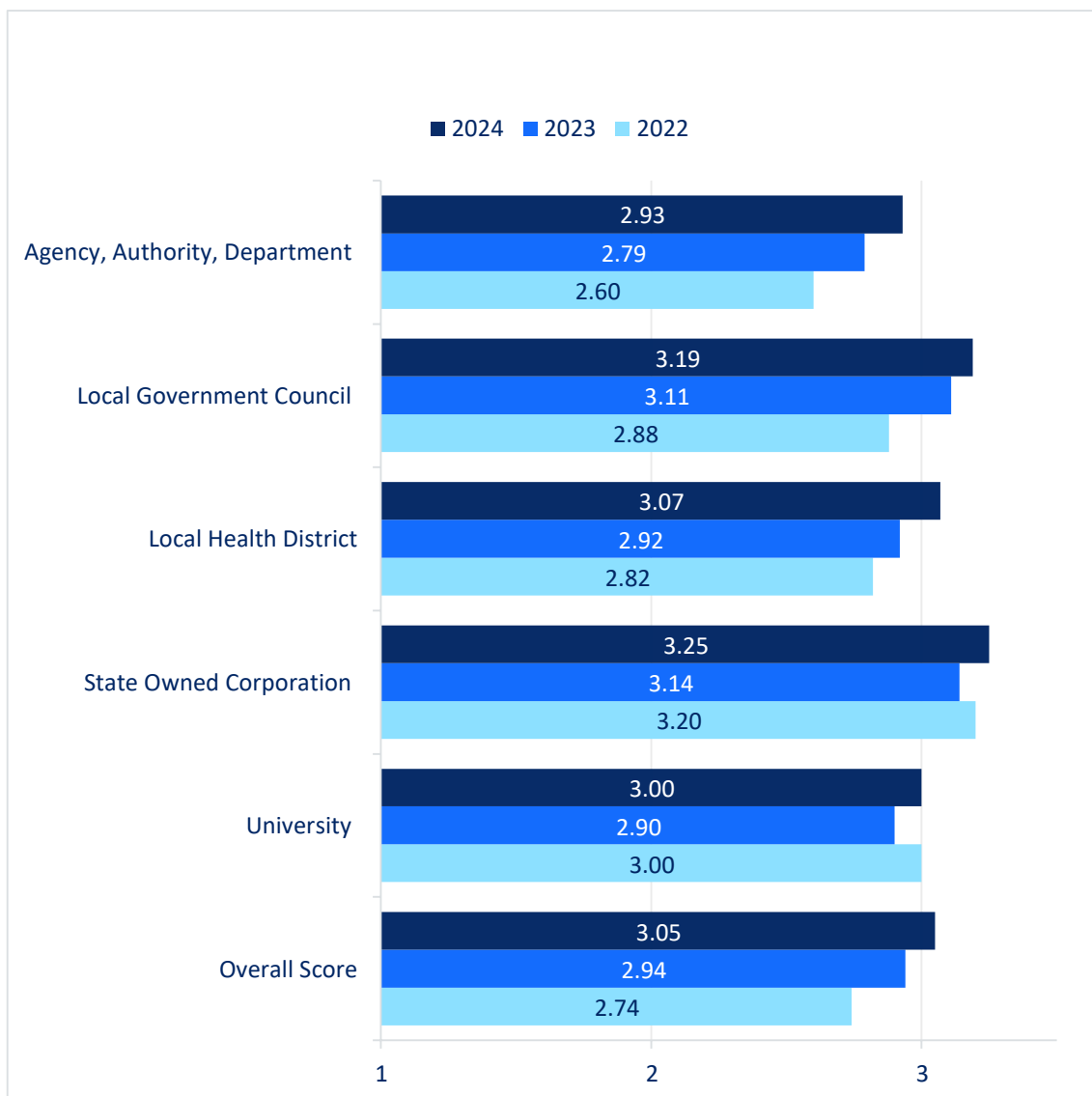


Comments received for this question advised that:

- the majority of 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
- the majority of public offices reported that staff are aware of their recordkeeping responsibilities
- the majority of 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 advanced training
- some public offices noted that contractors miss out on induction training
- some public offices recognise that awareness of responsibilities does not always equate with compliance due to availability of resources
- the majority of 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.

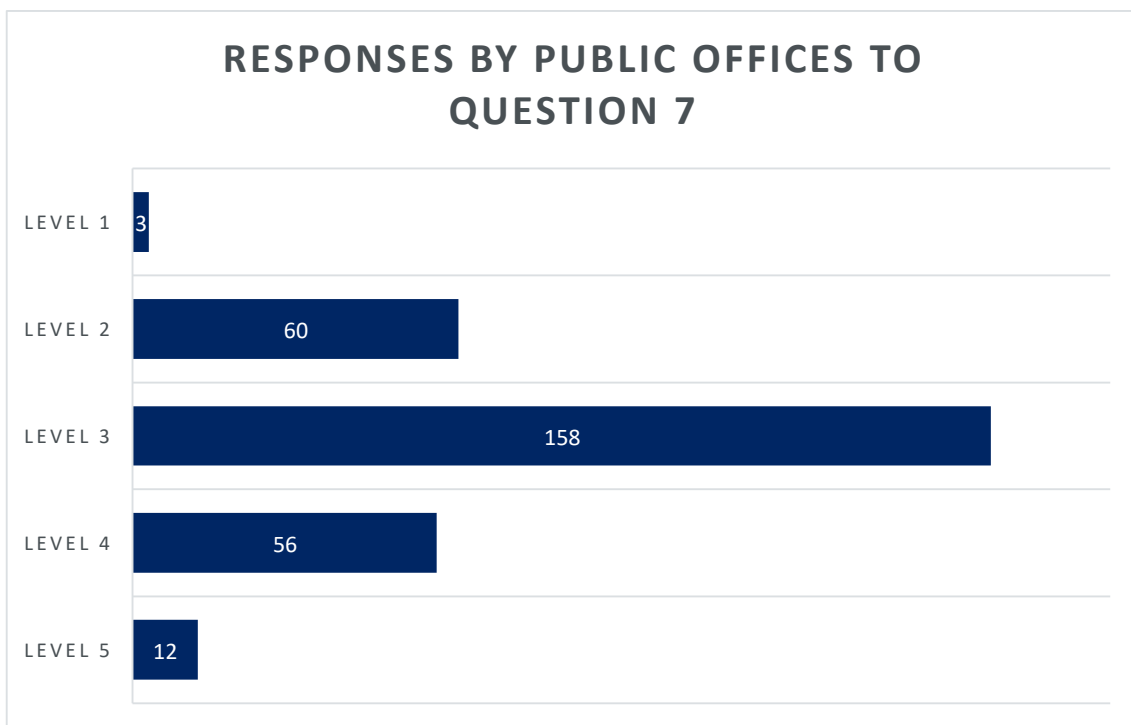
Within each public office’s records and information management strategy, there is likely to be a range of different levels of responsibility and skills required for the range of records and information management roles and work being undertaken.

The average of all public office scores for this question has improved from **2.94** in 2023 to **3.05** in 2024.

Viewed on the basis of average scores across different sectors of the jurisdiction, the overall performance of Local Government Councils, Local Health Districts, State Owned Corporations and Universities can be described as broadly compliant with this question, while the Agency, Authority, Department public office type can be described as close to compliant.

Level of compliance (based on responses to question)	Percentage	Number
Public offices compliant with requirements of question	78%	226
Public offices not compliant with requirements of question	22%	63
Total	100%	289

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

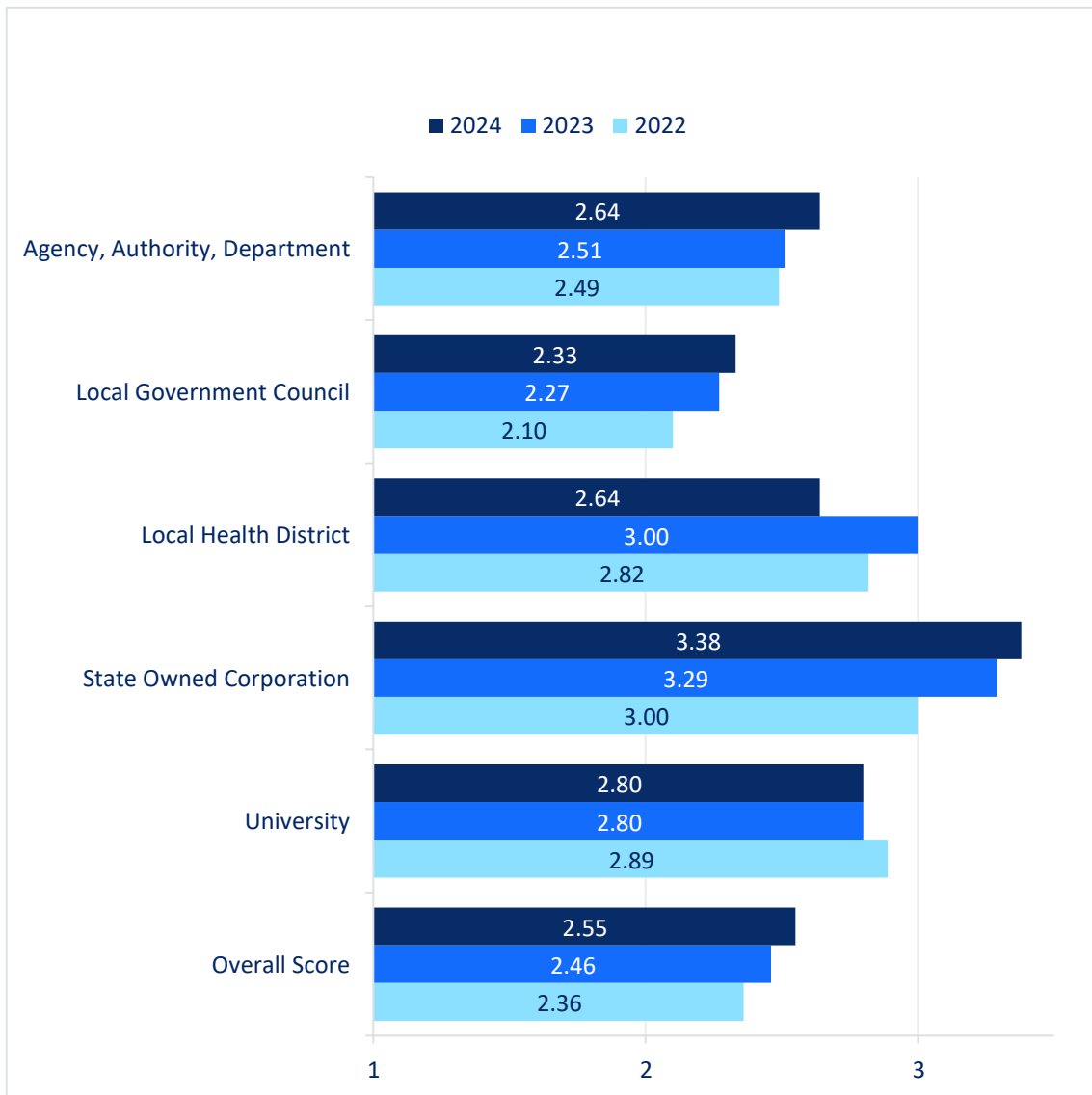


Comments received for this question advised that:

- the majority of public offices noted that they have records and information management staff or access to skilled staff
- some public offices have managers who have awareness of recordkeeping practices but are not specialists in records and information management
- some public offices are in the process of improving their capability and capacity, including upskilling staff by supporting professional development and offering training
- some public offices noted that they did not have records and information management staff
- some public offices are restricted by funding which does not allow for capability alignment to current and future business needs.

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.



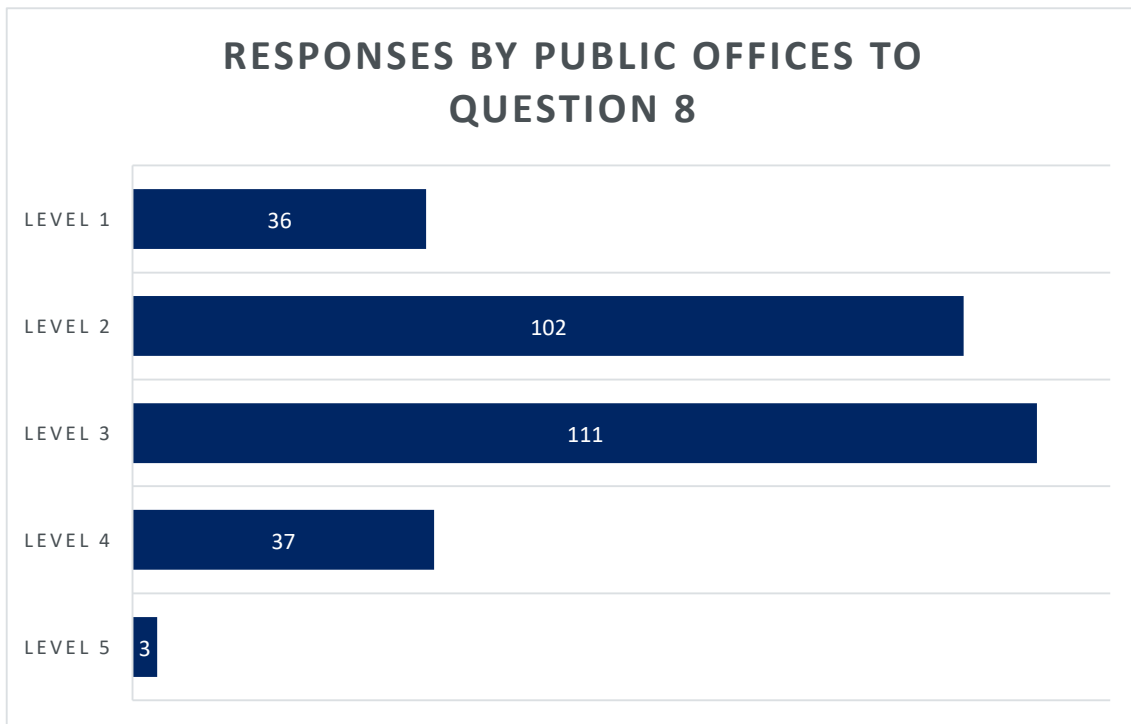
Public offices engage partners, service providers, contractors and other parties to perform specific tasks. Information and documentation required to be produced and managed in their performance of the agreement or contract needs to be clearly articulated. Additionally public offices need to ensure that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

The average of all public office scores for this question has improved from **2.46** in 2023 to **2.55** in 2024.

Viewed on the basis of average scores across different sectors of the jurisdiction, the overall performance of State Owned Corporations can be described as broadly compliant with this question.

Level of compliance (based on responses to question)	Percentage	Number
Public offices compliant with requirements of question	52%	151
Public offices not compliant with requirements of question	48%	138
Total	100%	289

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

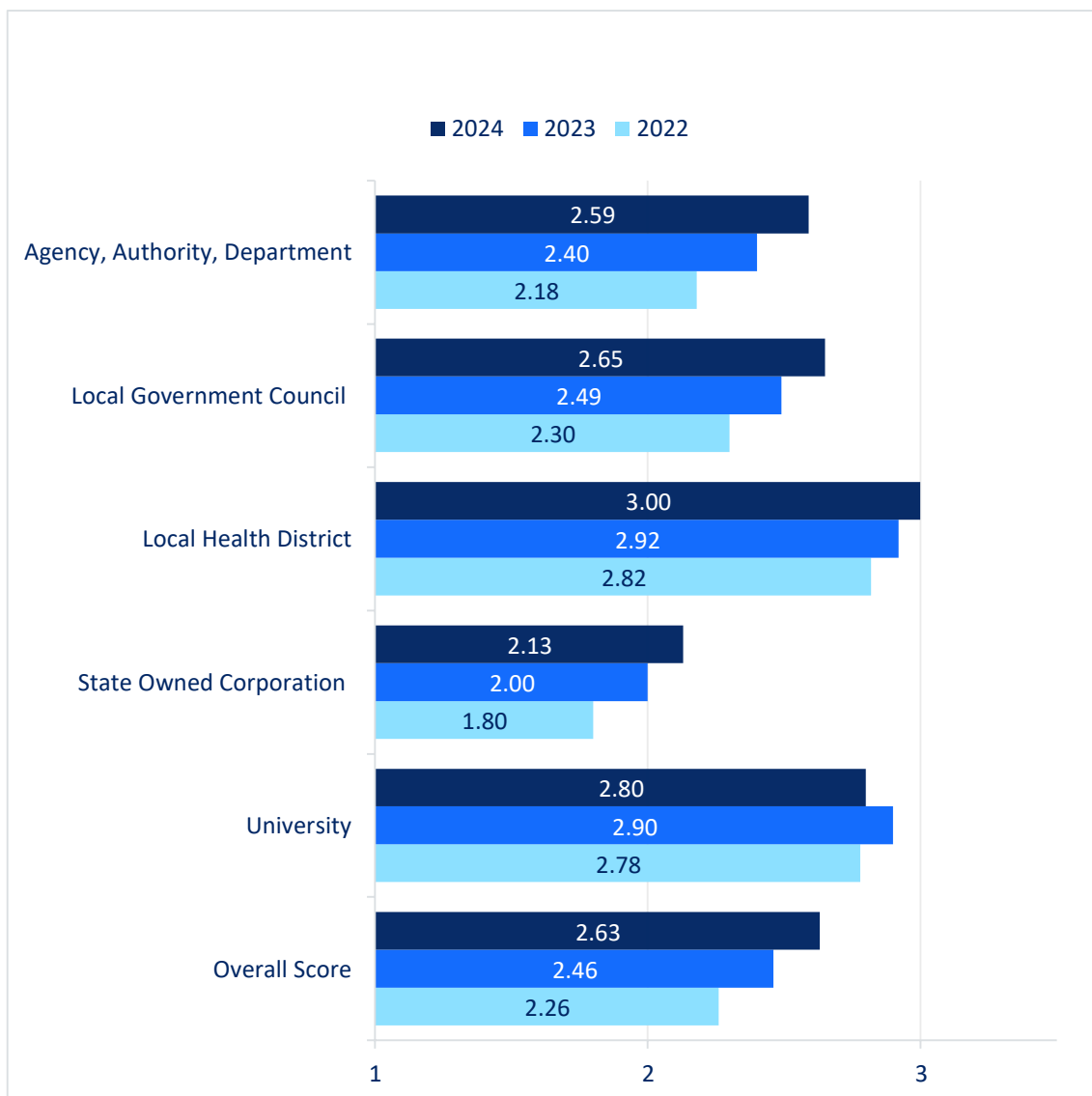


Comments received for this question advised that:

- the majority of public offices are beginning to identify and document recordkeeping requirements in contracts for outsourced services
- some public offices have completed or are in the process of completing a comprehensive review of contracts and contractors to standardise and include records and information management responsibilities
- 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
- some public offices require further training and awareness on this area.

4.9 Question 9 – Performance Monitoring

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



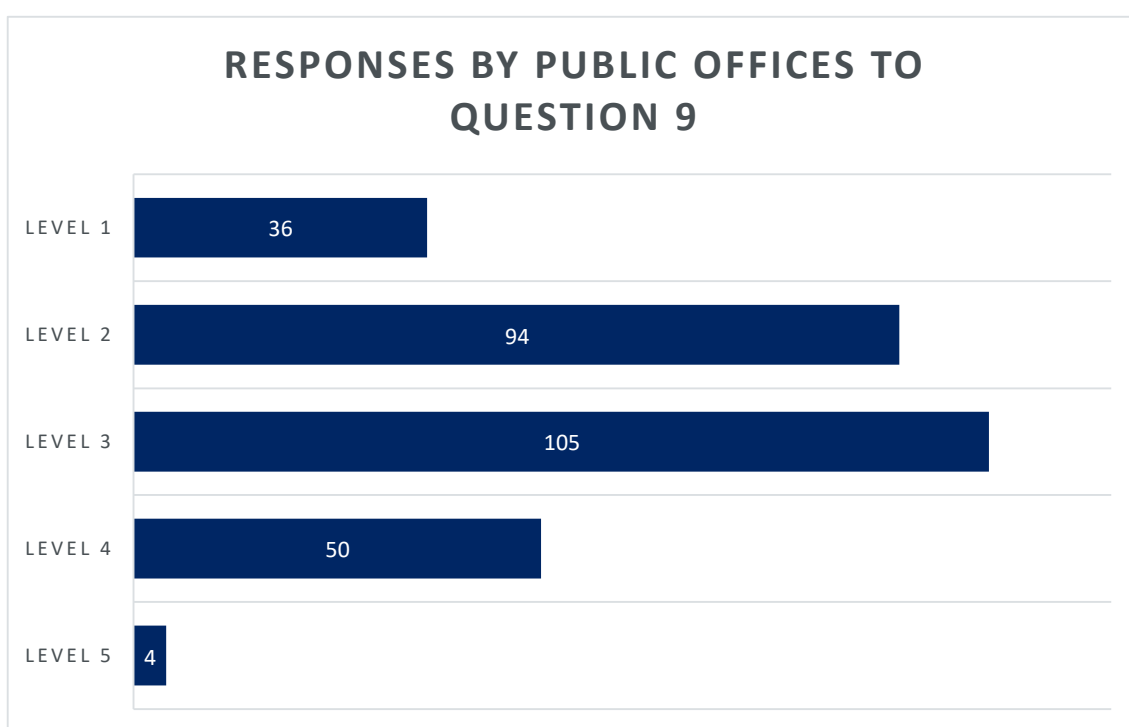
Records and information management activities, systems and processes should be regularly monitored to ensure that they are meeting the needs of the public office and are in conformity with requirements. If issues are identified through a monitoring process then these need to be addressed with a corrective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

The average of all public office scores for this question has improved from **2.46** in 2023 to **2.63** in 2024.

Viewed on the basis of average scores across different sectors of the jurisdiction, the overall performance of Local Health Districts can be described as broadly compliant with this question.

Level of compliance (based on responses to question)	Percentage	Number
Public offices compliant with requirements of question	55%	159
Public offices not compliant with requirements of question	45%	130
Total	100%	289

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

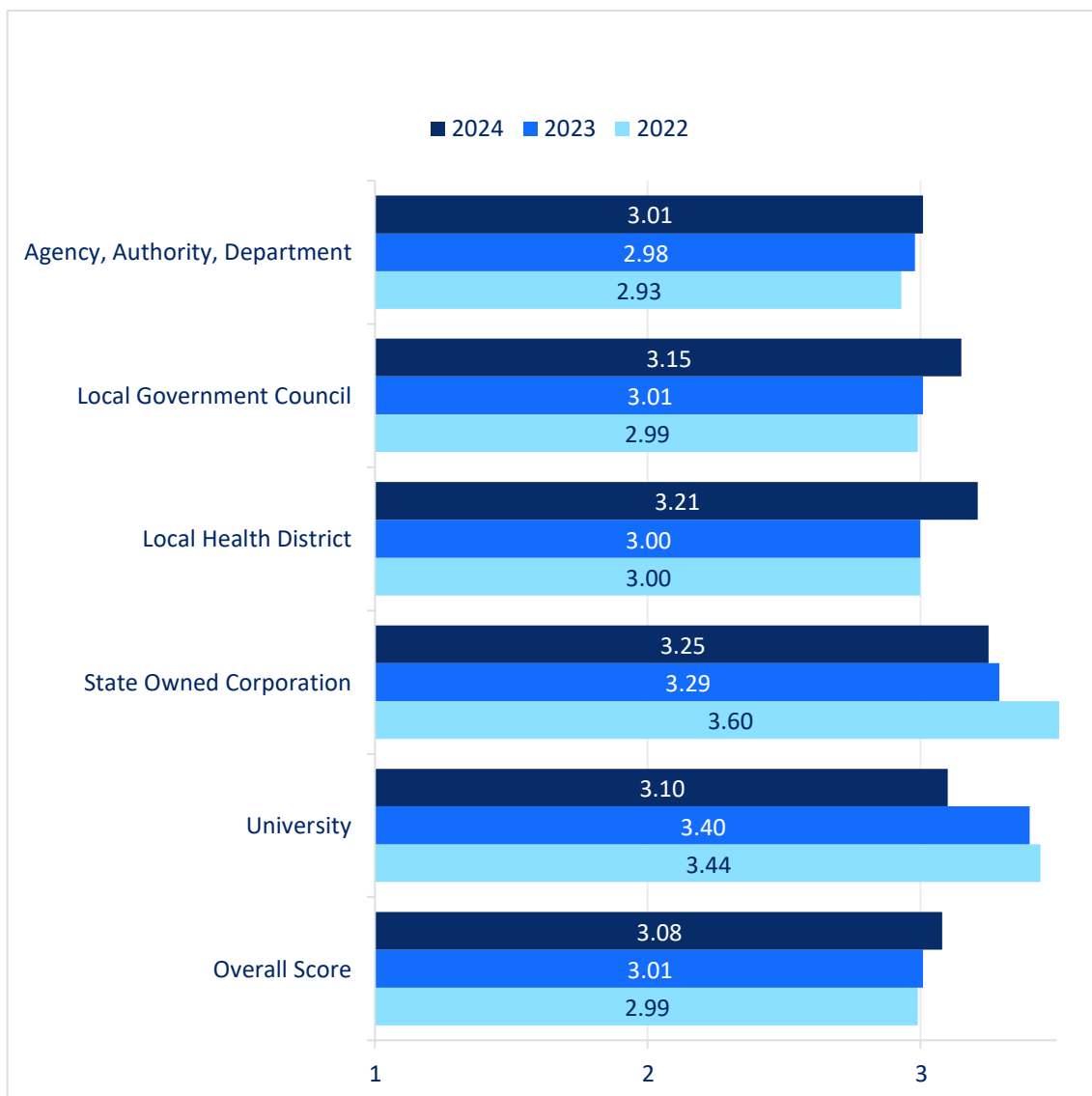


Comments received for this question advised that:

- public offices are working towards improving monitoring activities and quality assurance processes
- the majority of public offices are undertaking or planning to undertake regular internal and external audits of records management
- the majority of 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
- the majority of public offices do not monitor or only monitor in an ad hoc or limited way
- some public offices noted that the completion of an RMA assessment for the annual Monitoring Exercise is the only monitoring which is undertaken.

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.



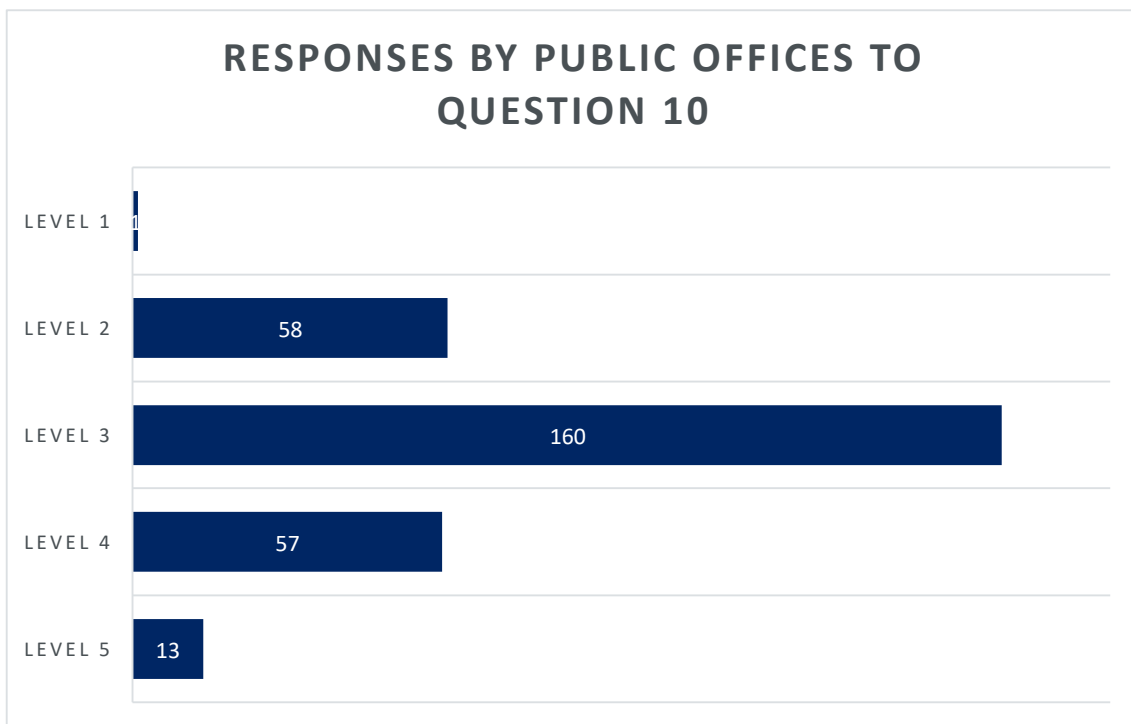
Public offices should implement an information security policy and appropriate security mechanisms. All records in all formats require a basic level of security to prevent misuse and unauthorised access and ensure their authenticity and integrity.

The average of all public office scores for this question has improved from **3.01** in 2023 to **3.08** in 2024.

Viewed on the basis of average scores across different sectors of the jurisdiction, the overall performance of all public office types can be described as broadly compliant with this question, but a review of the responses indicates that 20% (59) of *participating public offices* are not compliant.

Level of compliance (based on responses to question)	Percentage	Number
Public offices compliant with requirements of question	80%	230
Public offices not compliant with requirements of question	20%	59
Total	100%	289

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

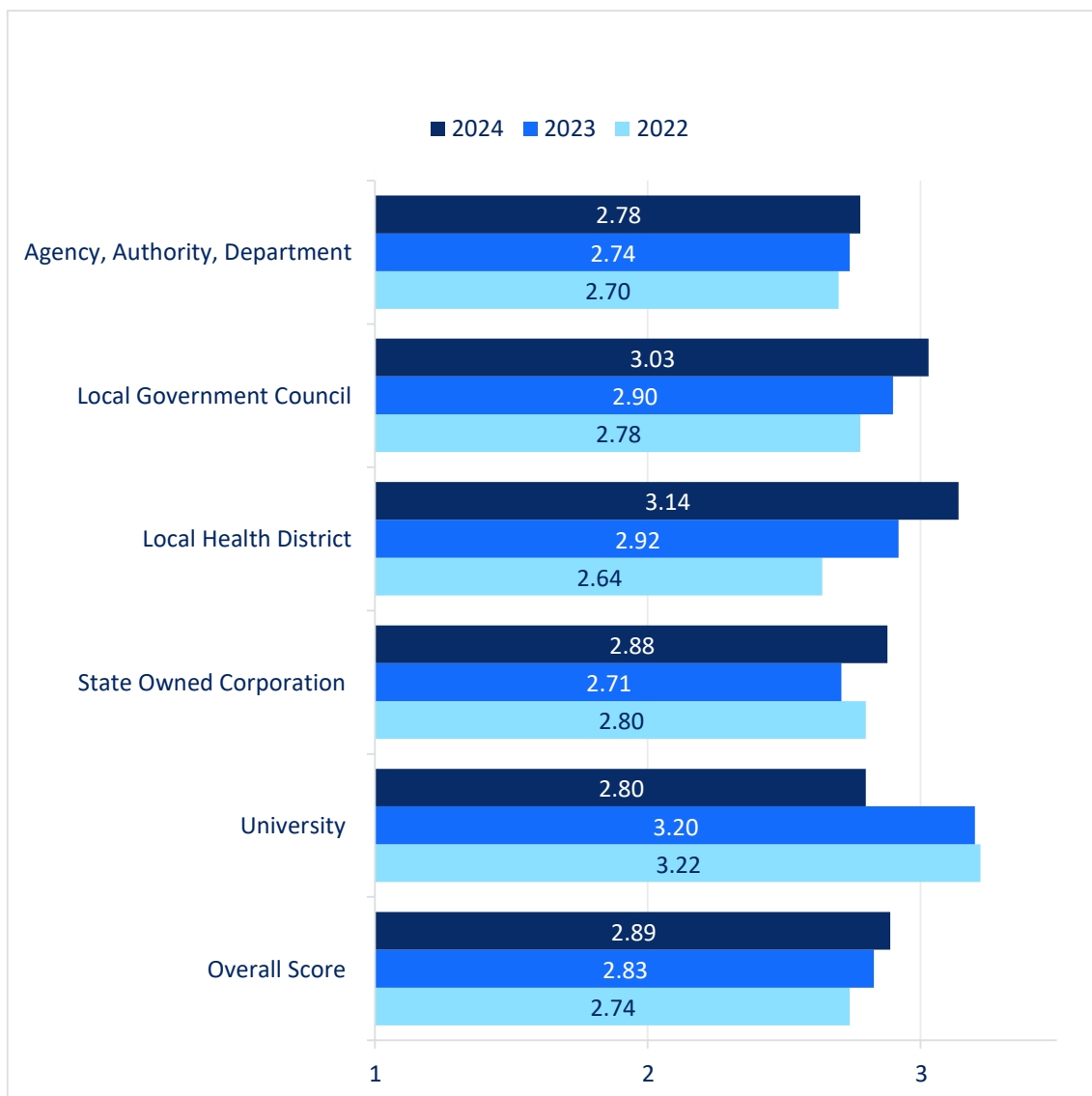


Comments received for this question advised that:

- the majority of 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, data breach response and disaster management
- the majority of public offices noted that they are reviewing and improving controls, including limiting user permissions to delete records in systems and prioritising the secure storage of high risk/high value records
- some public offices recognise that information held in Microsoft Teams or network drives remains largely unmanaged and poses a significant risk
- some public offices rely on their parent cluster to manage the security and protection of records and information and are therefore limited in their capacity to control and monitor.

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.



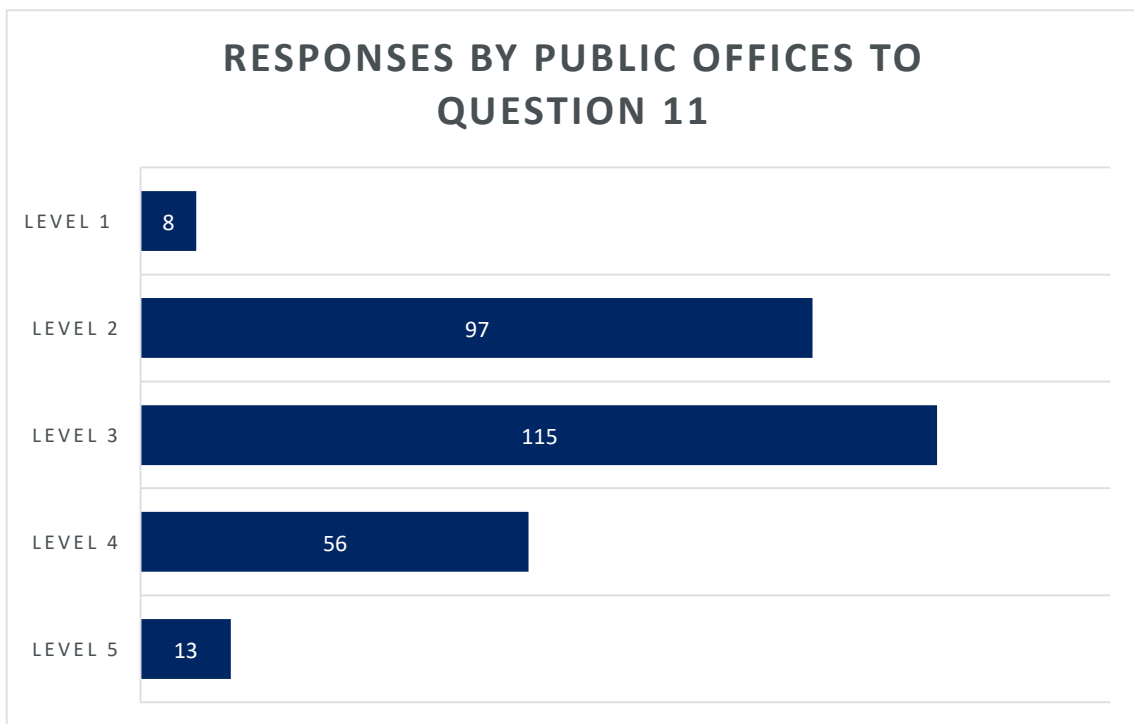
This requirement ensures that records and information can be identified, retrieved from storage (physical or digital storage), and are accessible for as long as they are required. Adequate metadata should be used to ensure that records are identifiable and retrievable.

The average of all public office scores for this question has improved from **2.83** in 2023 to **2.89** in 2024.

Viewed on the basis of average scores across different sectors of the jurisdiction, the overall performance of Local Government Councils and Local Health Districts can be described as broadly compliant with this question.

Level of compliance (based on responses to question)	Percentage	Number
Public offices compliant with requirements of question	64%	184
Public offices not compliant with requirements of question	36%	105
Total	100%	289

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

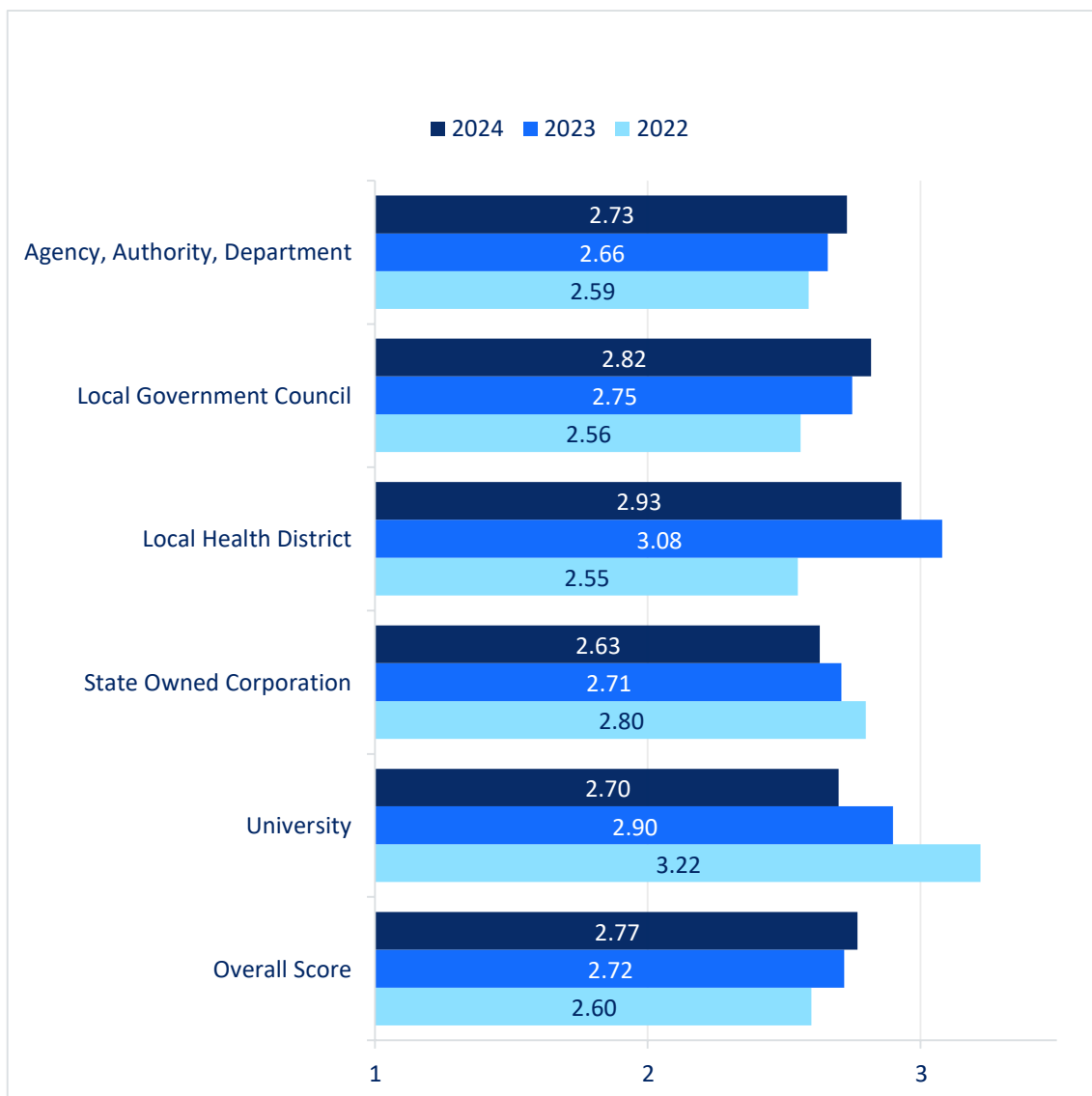


Comments received for this question advised that:

- some public offices noted that searchability and discoverability is not monitored or part of a standardised process
- the majority of public offices noted that most information is generally easy to find, albeit not always accessible, with the exception of historical and legacy records
- the majority of public offices are actively working with business units to improve file structures and naming conventions in recordkeeping systems for compliance and searchability
- some public offices control access to high risk/high value and confidential information, with security caveats attached where necessary
- the majority of 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.



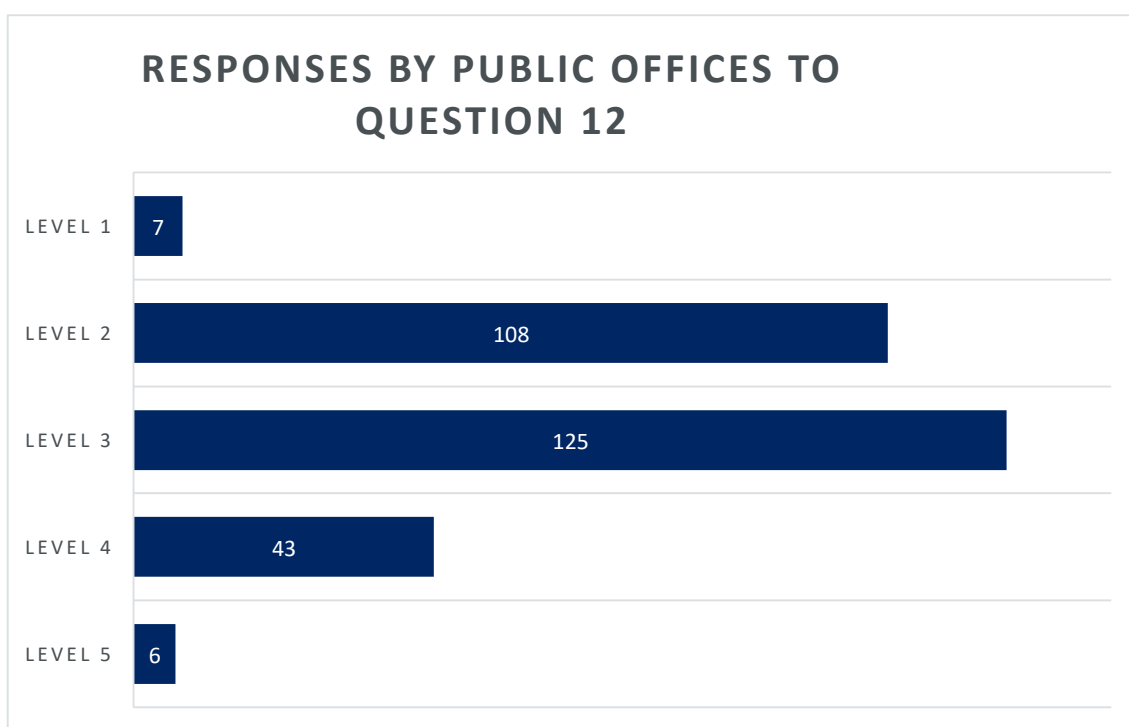
Records and information need to be accurate, authentic, and reliable – as evidence of transactions, decisions, and actions. Adequate and appropriate metadata enables a record to function as reliable and trusted evidence. Implementing policy, business rules, procedure and other control mechanisms work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

The average of all public office scores for this question has improved from **2.72** in 2023 to **2.77** in 2024.

Viewed on the basis of average scores across different sectors of the jurisdiction, no public office type could be described as broadly compliant with this question, although the Local Health District public office type can be described as close to compliant.

Level of compliance (based on responses to question)	Percentage	Number
Public offices compliant with requirements of question	60%	174
Public offices not compliant with requirements of question	40%	115
Total	100%	289

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

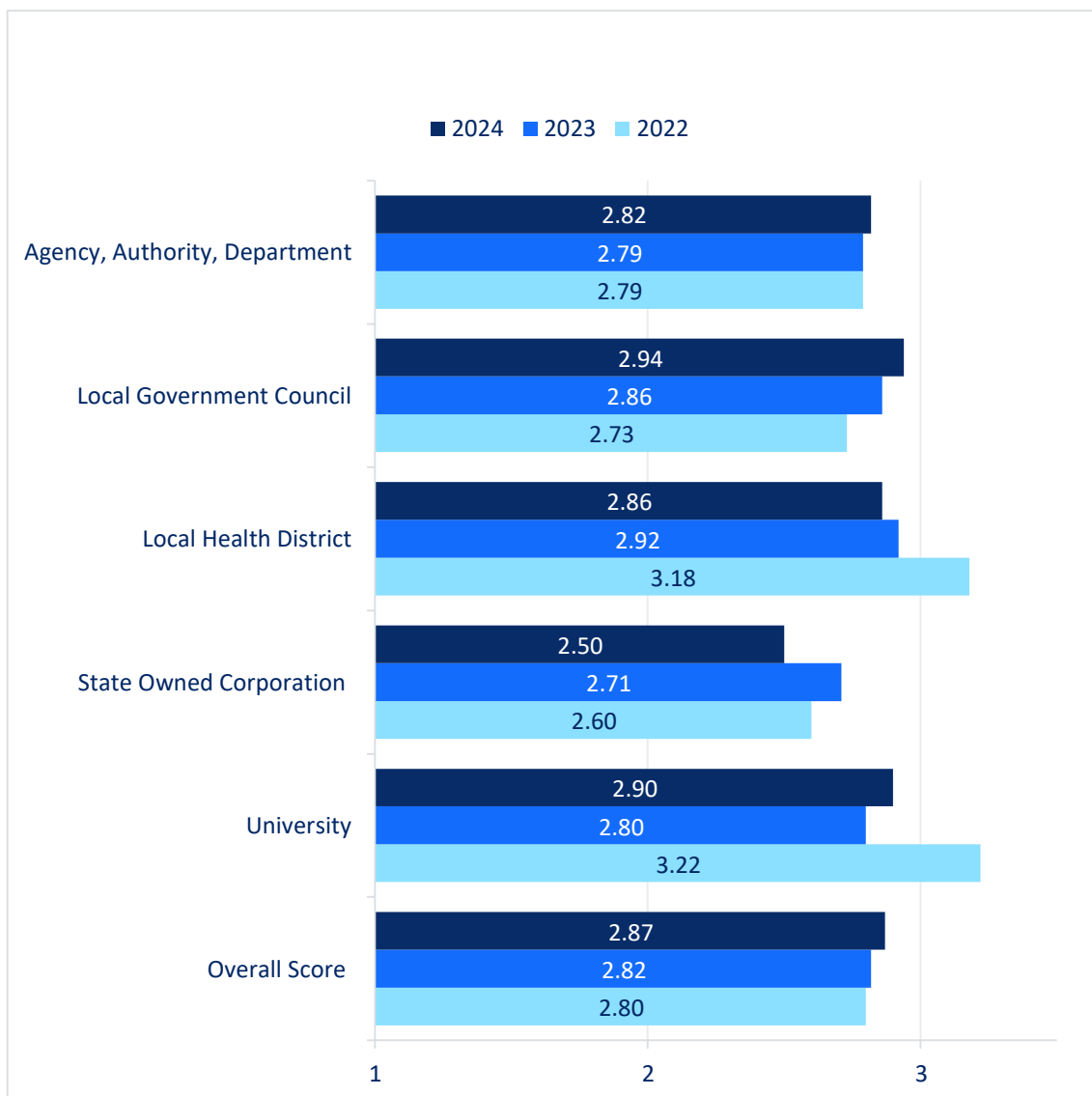


Comments received for this question advised that:

- some public offices use feedback from business units and end users to identify user expectations and gauge the useability of systems and their content
- some public offices noted that recordkeeping and information quality is inconsistent across the organisation
- the majority of 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 highlighted the challenges presented by systems with uncontrolled functionalities such as Microsoft SharePoint, Microsoft Teams, network drives and some cloud platforms to meet compliance requirements.

4.13 Question 13 – Use & Re-Use

This question asks about the usability and re-usability of the information being created or collected by the public office now and into the future.



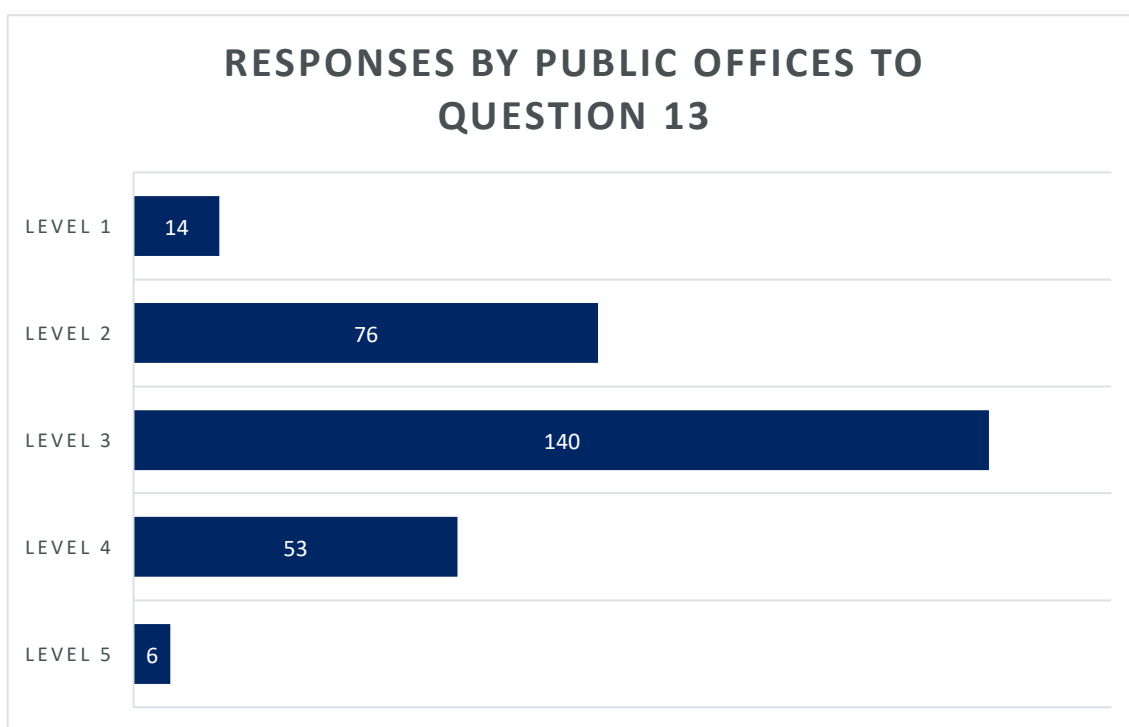
This requirement supports the sharing and re-use of information within the public office and to external stakeholders. The use of metadata, standard formats, standard processes for information use and re-use, and data sharing agreements all contribute to making information in records usable and re-usable.

The average of all public office scores for this question has improved from **2.82** in 2023 to **2.87** in 2024.

Viewed on the basis of average scores across different sectors of the jurisdiction, no public office type could be described as broadly compliant with this question. although the Local Government Council and University public office types can be described as close to compliant.

Level of compliance (based on responses to question)	Percentage	Number
Public offices compliant with requirements of question	69%	199
Public offices not compliant with requirements of question	31%	90
Total	100%	289

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

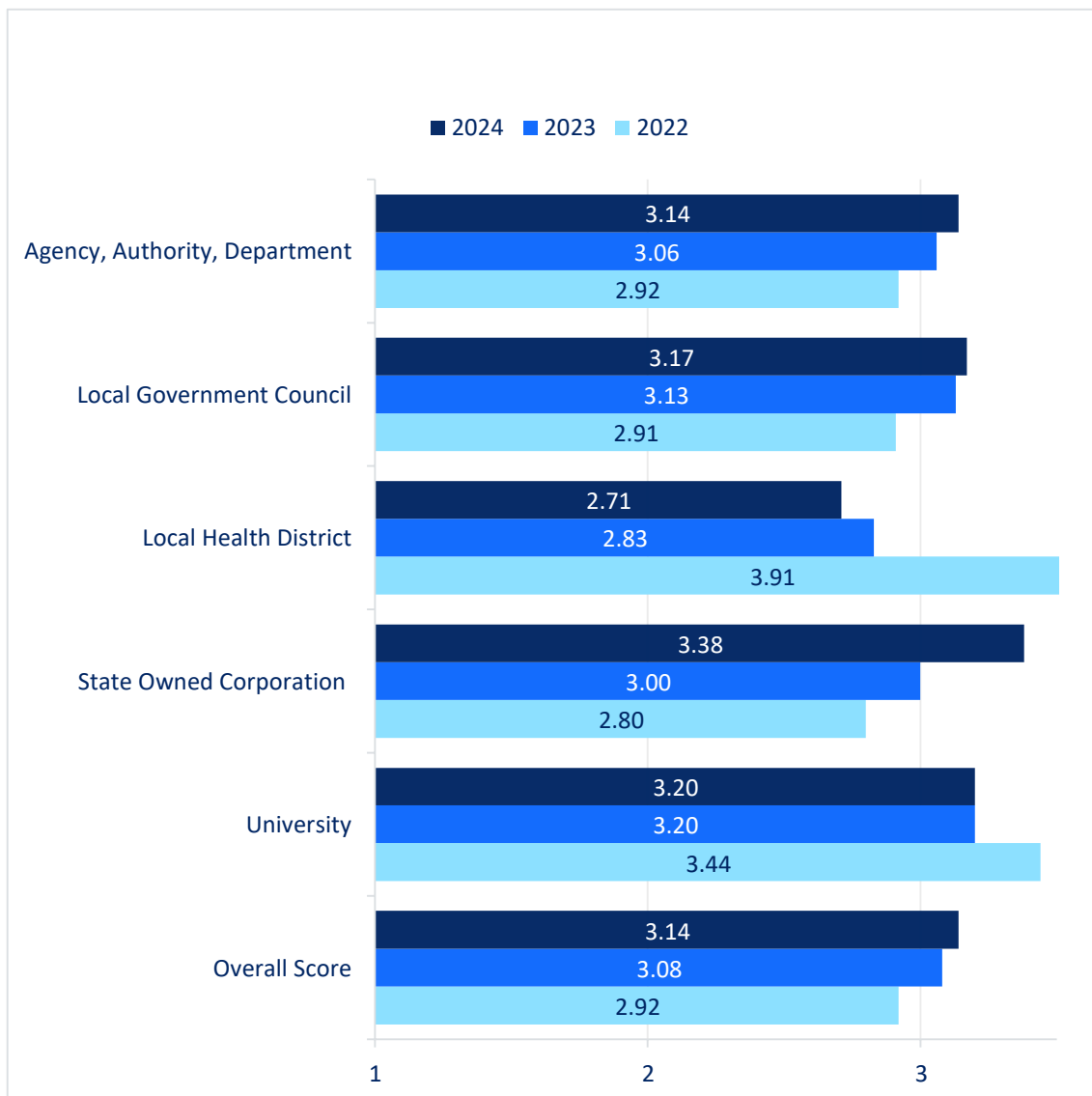


Comments received for this question advised that:

- some public offices identified that there is no systematic approach for use and re-use of information
- some public offices noted that information shared externally is publicly stored on official websites or shared via secure platforms
- some public offices engage with identified or potential re-users of information to support the design of records and information capabilities and controls
- the majority of public offices identified the strategies that they are undertaking or have implemented to enable use and re-use of information, such as endorsing an Open Data Policy or standardising metadata through business rules
- some public offices have commented that use and re-use of information is an area of growth.

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.



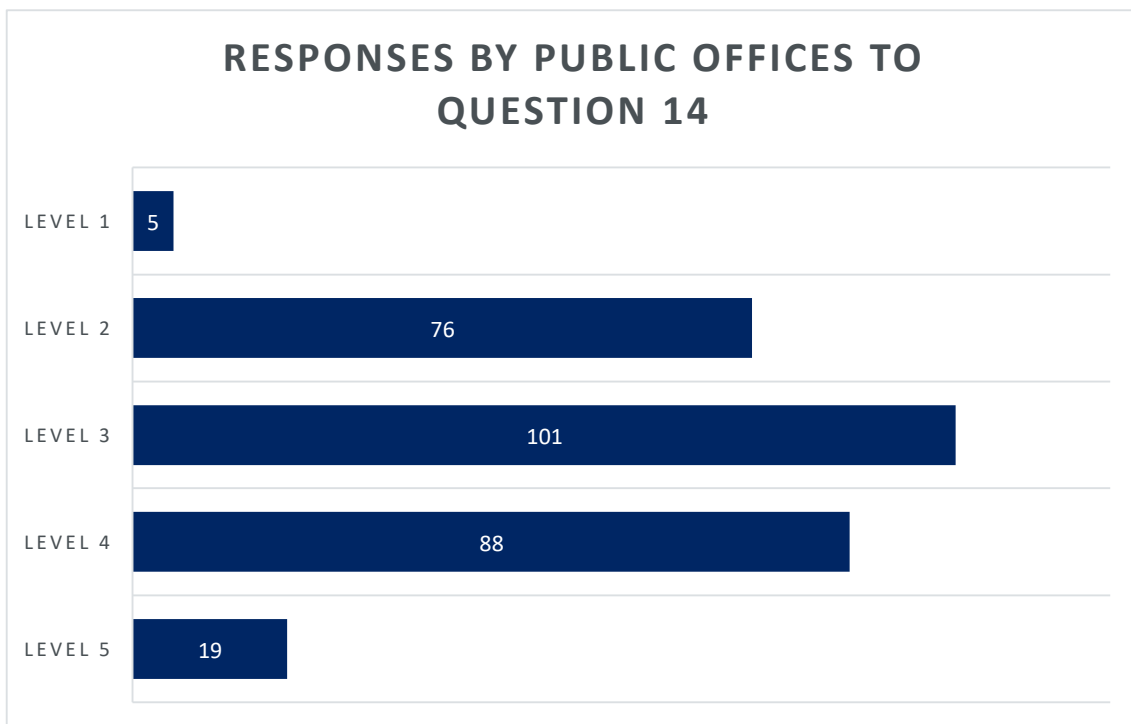
Taking a 'by design' approach means that records and information management is addressed in systems design, specification, and acquisition. This enables better controls of records and information, and easier systems maintenance, migrations or service transitions, and decommissioning, and improved outcomes.

The average of all public office scores for this question has improved from **3.08** in 2023 to **3.14** in 2024.

Viewed on the basis of average scores across different sectors of the jurisdiction, the overall performance of Agencies, Authorities and Departments, Local Government Councils, State Owned Corporations and Universities can be described as broadly compliant with this question.

Level of compliance (based on responses to question)	Percentage	Number
Public offices compliant with requirements of question	72%	208
Public offices not compliant with requirements of question	28%	81
Total	100%	289

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

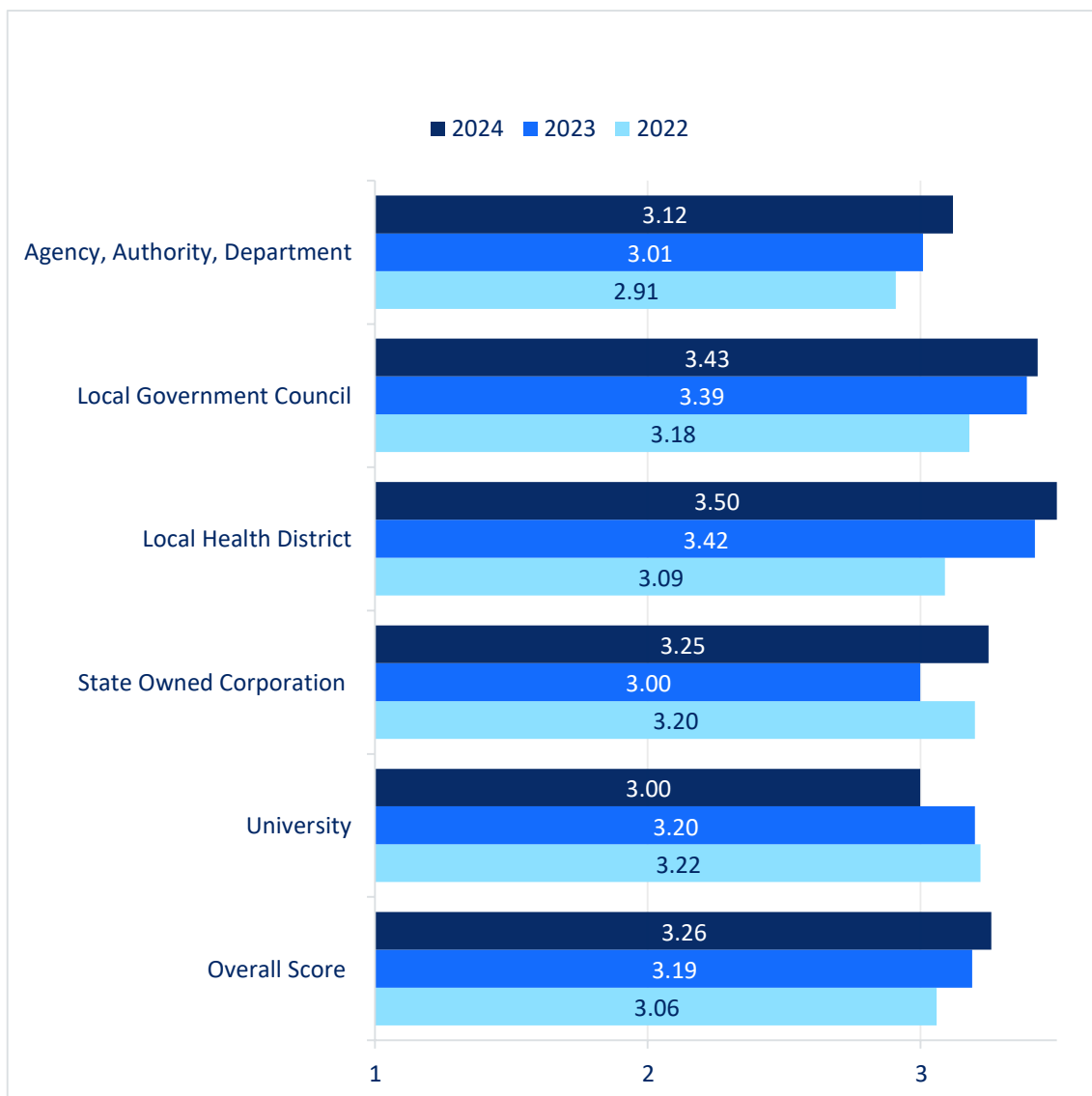


Comments received for this question advised that:

- the majority of public offices continue to work to ensure that records and information management requirements are addressed in systems design and assessments of existing systems
- the majority of 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 developing an information asset register is a key component to address records and information management requirements in the design and management 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
- some public offices noted that systems with no integration with the official recordkeeping system have lower levels of compliance with records management standards.

4.15 Question 15 – Create, Collect, Capture

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



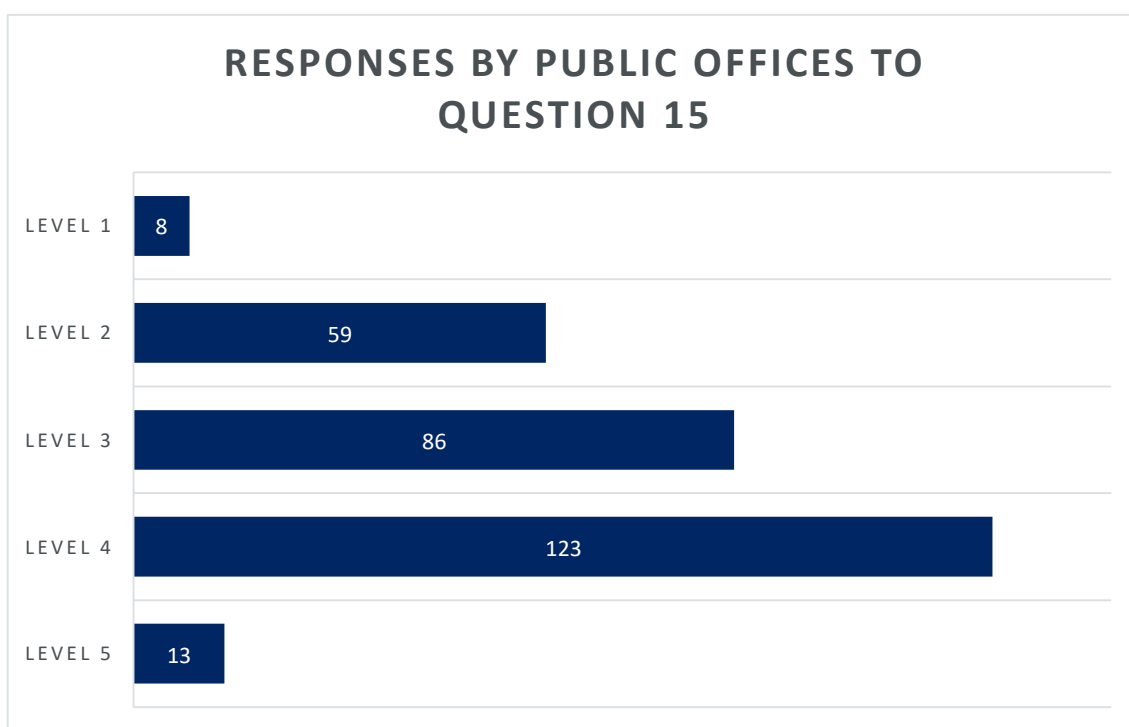
This requirement ensures that the public office (including staff and contractors) is conforming with policies, rules and processes and that records and information are being routinely created and managed.

The average of all public office scores for this question has improved from **3.19** in 2023 to **3.26** in 2024.

Viewed on the basis of average scores across different sectors of the jurisdiction, the overall performance of all public office types can be described as broadly compliant with this question, but a review of the responses indicates that 23% (67) of *participating public offices* are not compliant.

Level of compliance (based on responses to question)	Percentage	Number
Public offices compliant with requirements of question	77%	222
Public offices not compliant with requirements of question	23%	67
Total	100%	289

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

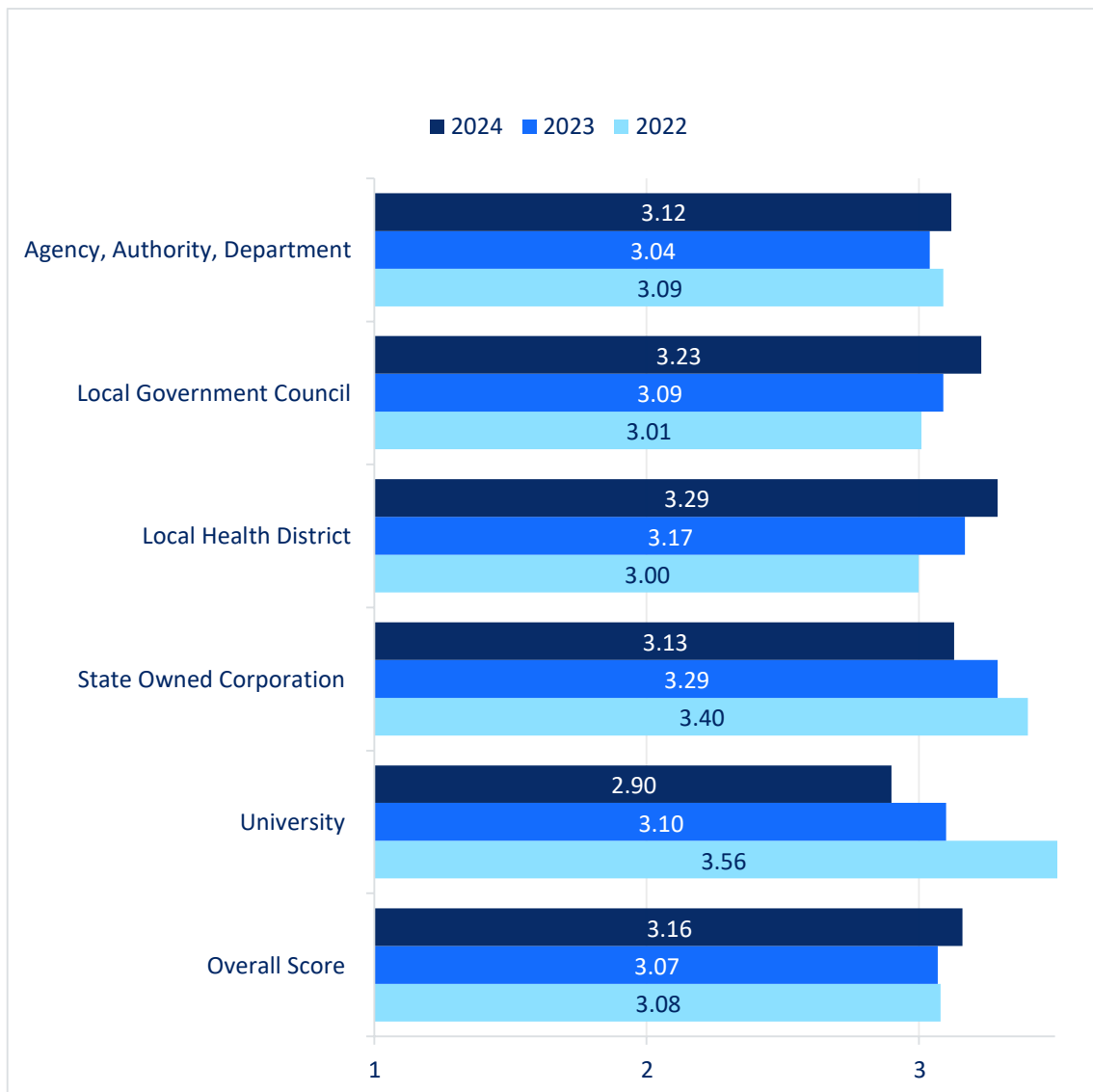


Comments received for this question advised that:

- the majority of public offices have processes, policies and procedures in place for the routine creation and capture of records and metadata 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 there is inconsistency across the organisation in the creation and capture of records and metadata due to lack of oversight, monitoring or standardised business rules
- some public offices identified 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.



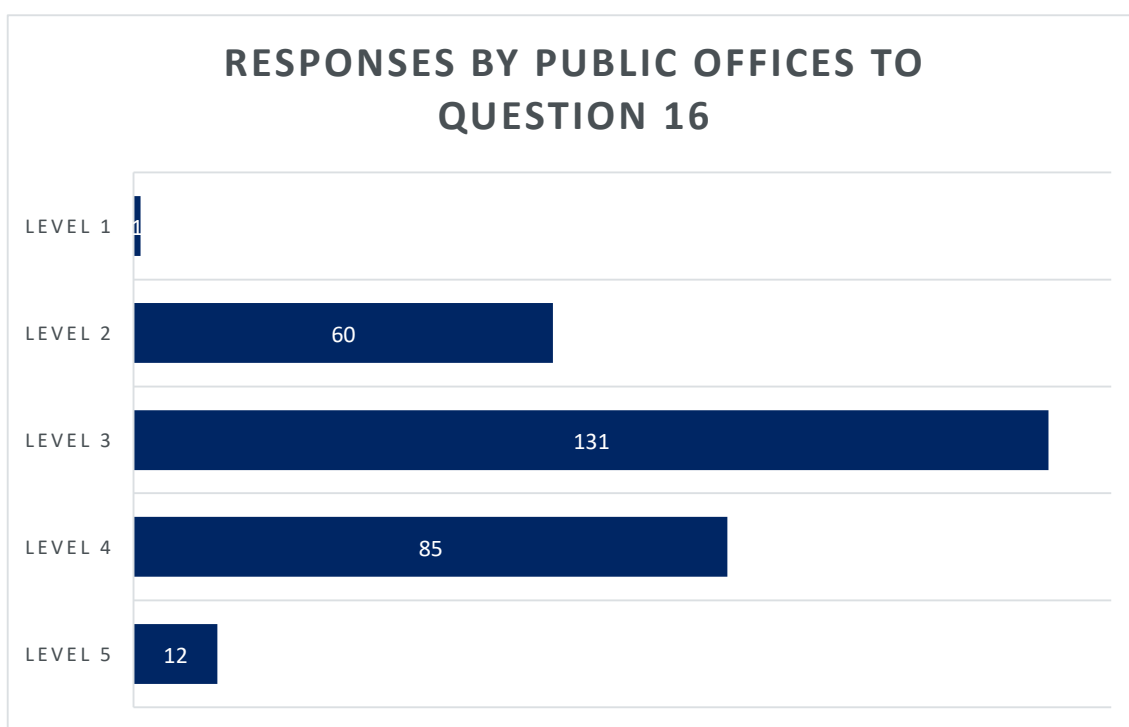
This requirement ensures that public offices have addressed storage for records and information, including those records that have long term retention or are required permanently, enabling records and information to be safeguarded and managed appropriately over time.

The average of all public office scores for this question has improved from **3.07** in 2023 to **3.16** in 2024.

Viewed on the basis of average scores across different sectors of the jurisdiction, the overall performance of Agencies, Authorities and Departments, Local Government Councils, Local Health Districts and State Owned Corporations can be described as broadly compliant with this question, while the University public office type can be described as close to compliant.

Level of compliance (based on responses to question)	Percentage	Number
Public offices compliant with requirements of question	79%	228
Public offices not compliant with requirements of question	21%	61
Total	100%	289

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

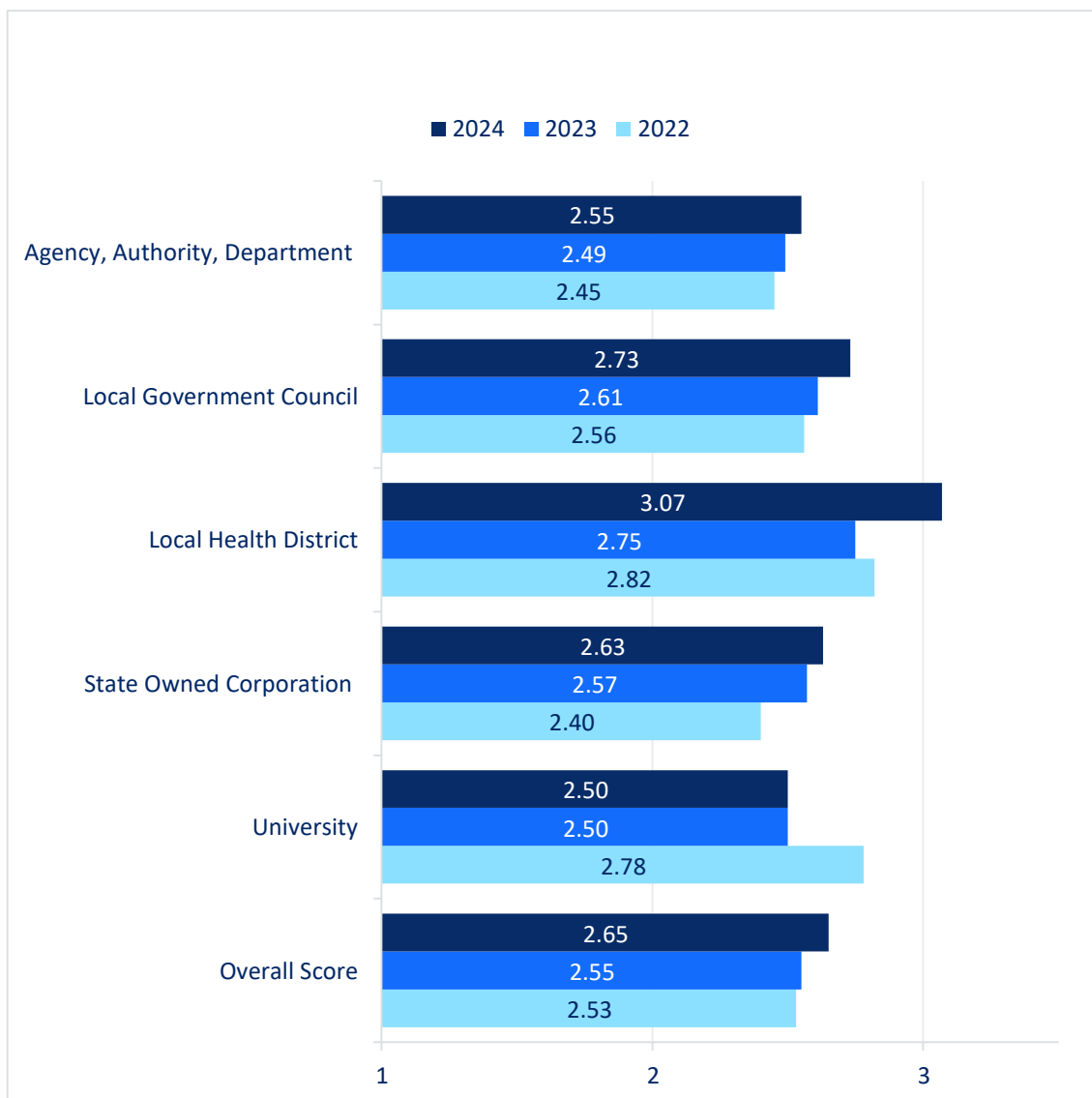


Comments received for this question advised that:

- the majority of public offices have conducted or are in the process of conducting a review of their physical and digital storage arrangements to improve compliance with standards
- some public offices identified that storage arrangements may be varied across the organisation
- the majority of 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
- some public offices reported that digital or cloud platforms and repositories are being assessed for optimal storage capabilities in line with cyber security requirements or 'crown jewels' frameworks
- some 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
- some public offices identified the work they are doing to assess and improve their holdings, such as sentencing hard copy records or undertaking large-scale or routine digitisation projects.

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.



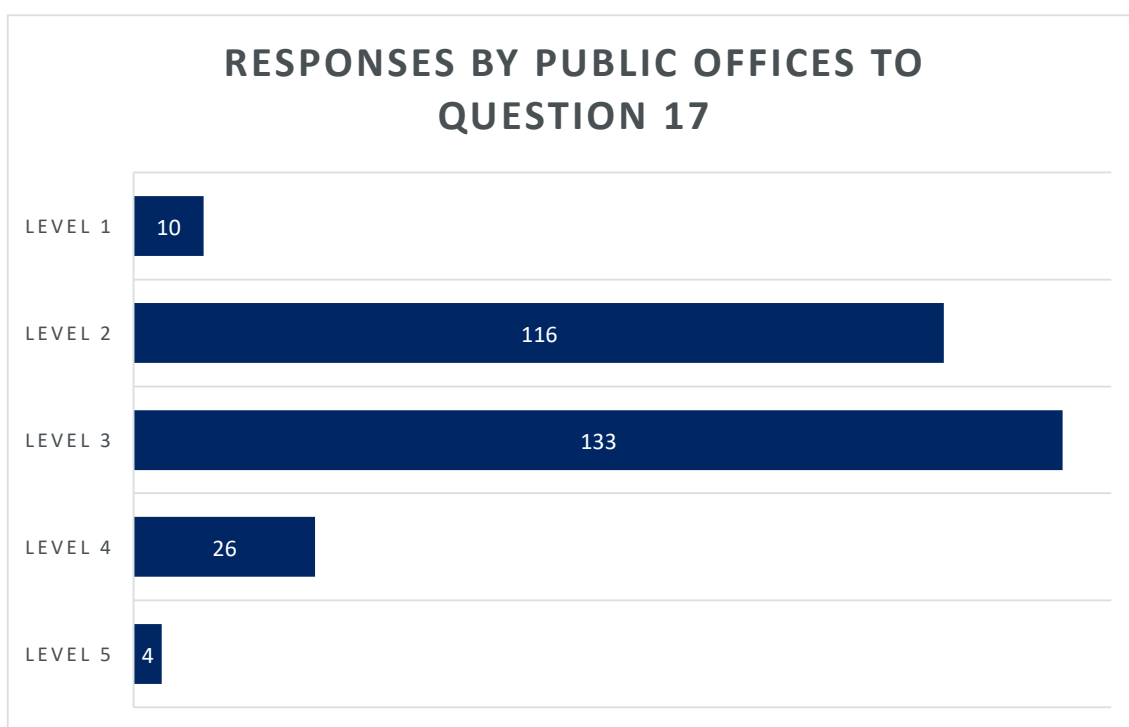
A documented assessment of the public office's functions and activities enables the organisation to determine what records it requires to support business and other identified recordkeeping requirements. This work provides the foundation for determining and implementing retention and disposal for records, 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 average of all public office scores for this question has improved from **2.55** in 2023 to **2.65** in 2024.

Viewed on the basis of average scores across different sectors of the jurisdiction, the overall performance of Local Health Districts can be described as broadly compliant with this question.

Level of compliance (based on responses to question)	Percentage	Number
Public offices compliant with requirements of question	56%	163
Public offices not compliant with requirements of question	44%	126
Total	100%	289

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

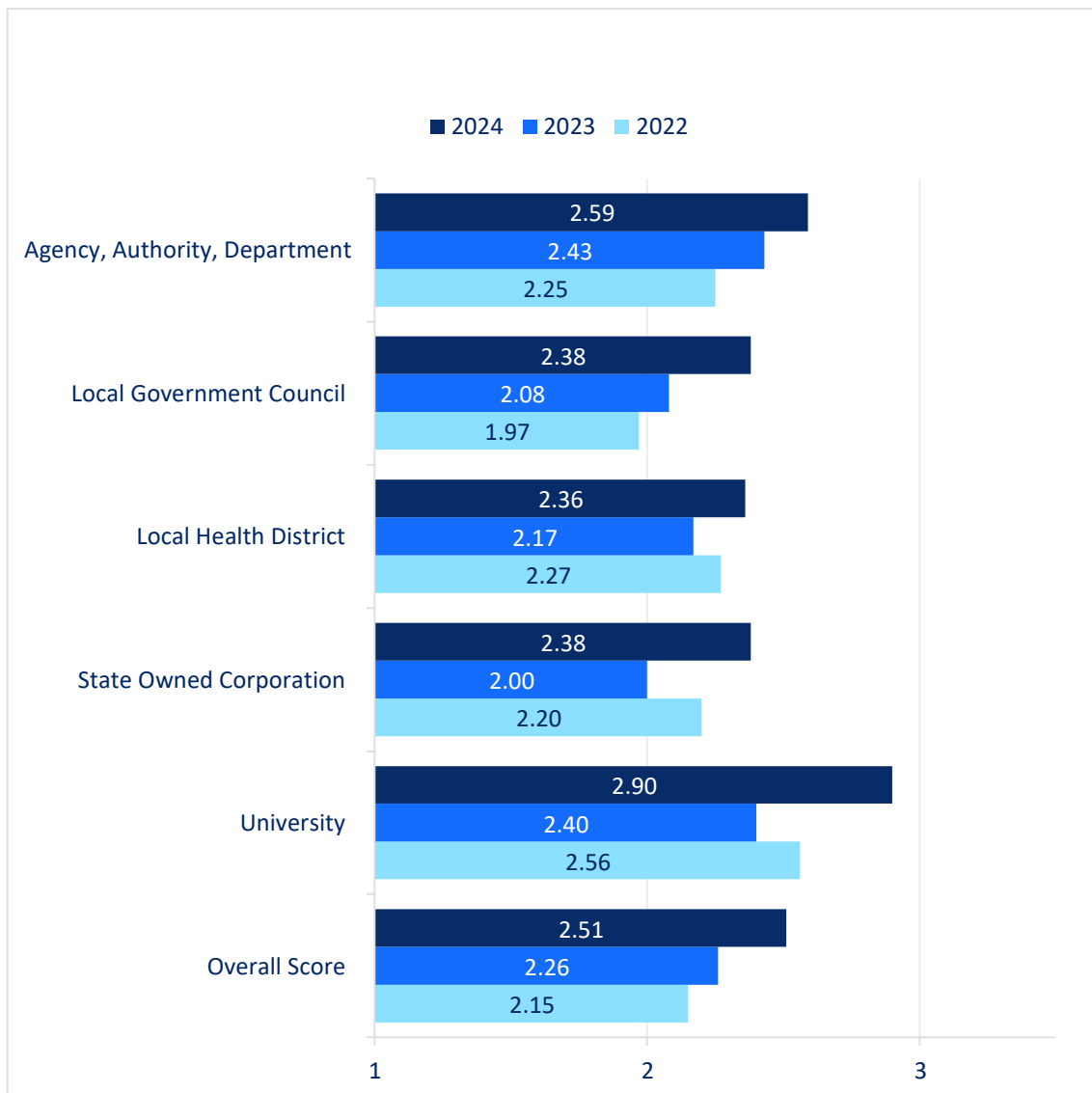


Comments received for this question advised that:

- the majority of public offices identified retention and disposal authorities for their organisation
- the majority of public offices advised that they sentence hardcopy records as well as records held in the records management system, but digital records stored elsewhere may not have been sentenced
- some public offices are undertaking or planning to undertake business unit reviews to identify information held outside of the official recordkeeping system or to assess information in accordance with new or revised retention and disposal authorities
- some public offices rely on their parent cluster to manage retention and disposal of records
- the majority of public offices recognise the need to improve and standardise their disposal processes
- disposal/destruction of records is ad hoc in some public offices
- some public offices find it difficult to effectively and legally sentence or dispose of records in legacy systems
- some public offices are restricted by resourcing shortages.

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.



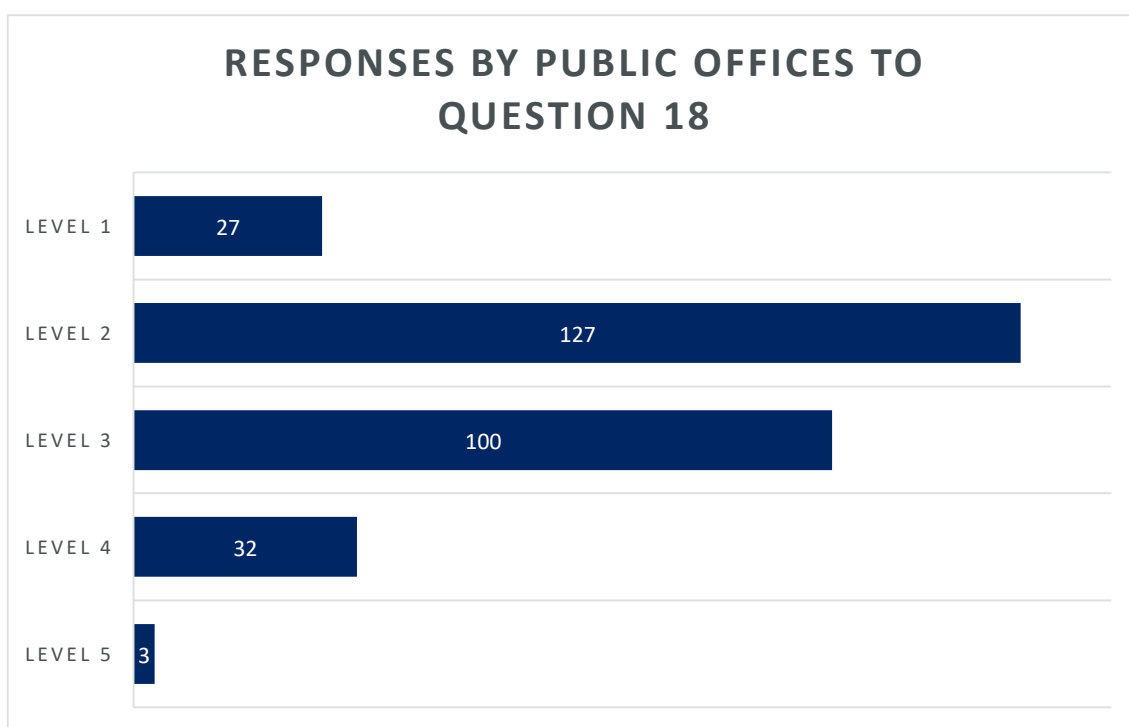
Retention and disposal authorities identify those State records which are required for permanent retention as State archives. Once a State record that is required to be kept permanently as a State archive is no longer in use for official purposes in the public office, MHNSW is entitled to control the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

The average of all public office scores for this question has improved from **2.26** in 2023 to **2.51** in 2024.

Viewed on the basis of average scores across different sectors of the jurisdiction, no public office type can be described as broadly compliant with this question, although the University public office type can be described as close to compliant.

Level of compliance (based on responses to question)	Percentage	Number
Public offices compliant with requirements of question	47%	135
Public offices not compliant with requirements of question	53%	154
Total	100%	289

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

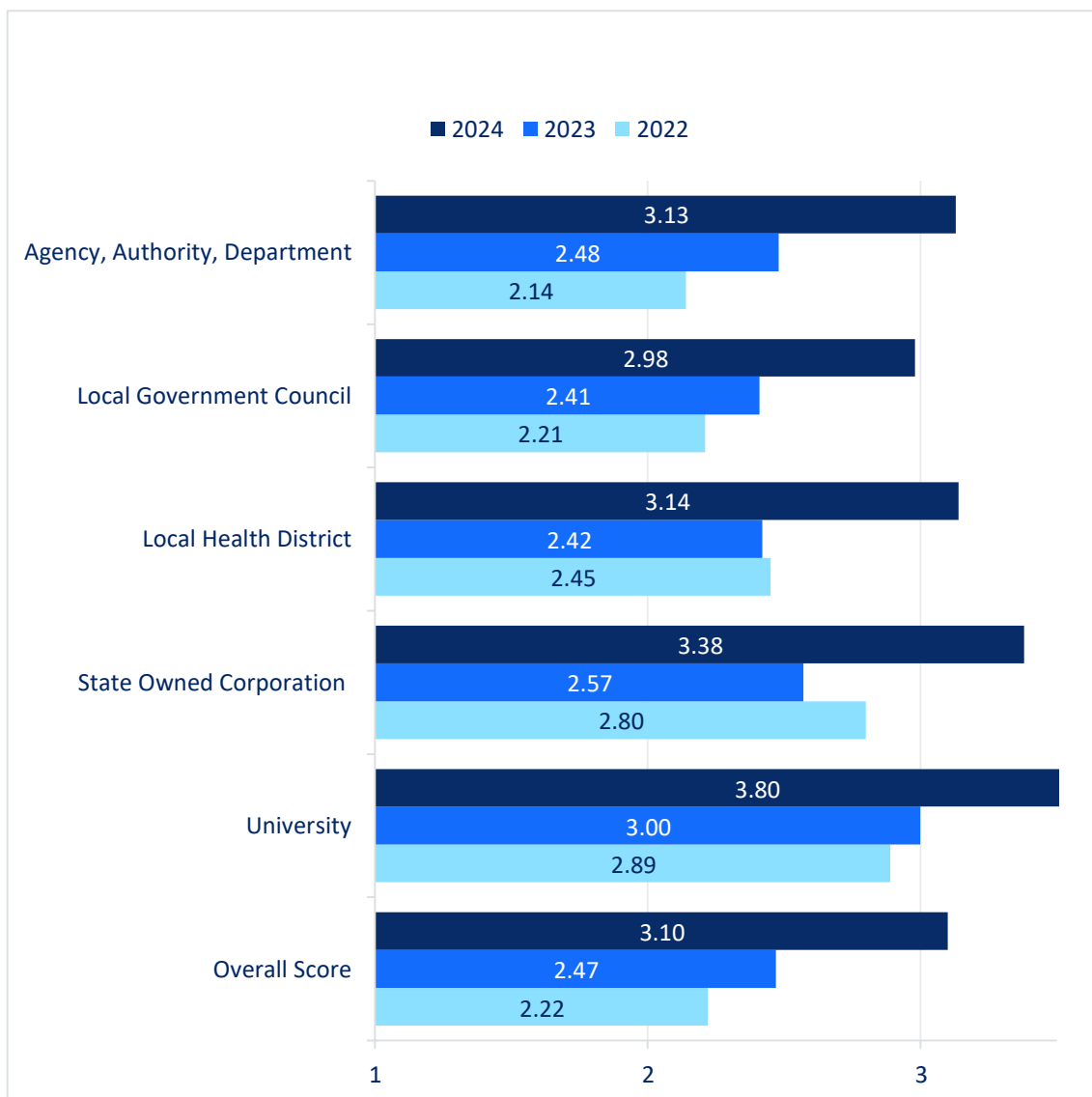


Comments received for this question advised that:

- some public offices noted that the new requirement to submit transfer plans will assist in records being transferred to Museums of History NSW more regularly
- the majority of public offices are preparing transfer plans, which will be completed by December 2024
- some public offices are in the process of identifying records required for transfer, while other public offices have transferred or transfer on a regular basis
- 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 have not transferred records required as State archives to Museums of History NSW due to lack of resourcing.

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.



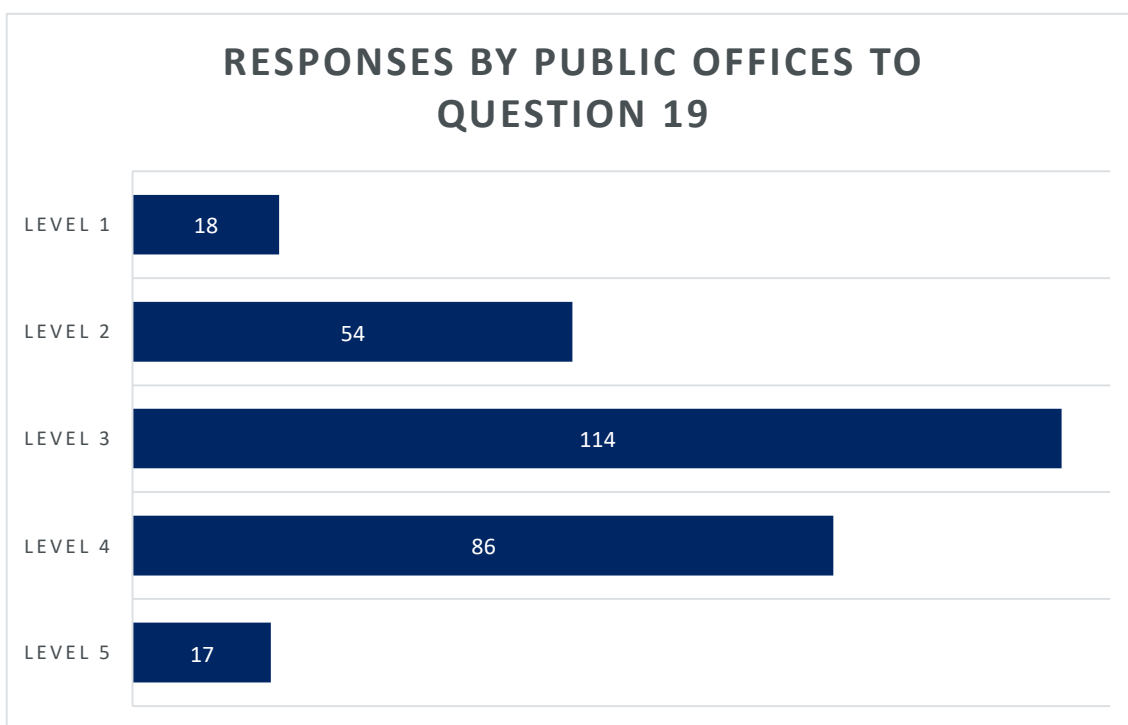
The *State Records Act 1998* requires that State records over 20 years old are open to public access unless an access direction has been made to close the records to public access.

The average of all public office scores for this question has improved from **2.47** in 2023 to **3.10** in 2024.

Viewed on the basis of average scores across different sectors of the jurisdiction, the overall performance of Agencies, Authorities and Departments, Local Health Districts, State Owned Corporations and Universities can be described as broadly compliant with this question, while the Local Government Council public office type can be described as close to compliant.

Level of compliance (based on responses to question)	Percentage	Number
Public offices compliant with requirements of question	75%	217
Public offices not compliant with requirements of question	25%	72
Total	100%	278

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



Comments received for this question advised that:

- the majority of public offices reviewed and updated existing access directions or registered new access directions with Museums of History NSW in 2023
- some public offices are planning to reference access directions in records and information management policies and procedures
- a few public offices do not have access directions in place.

5 Results by each public office type

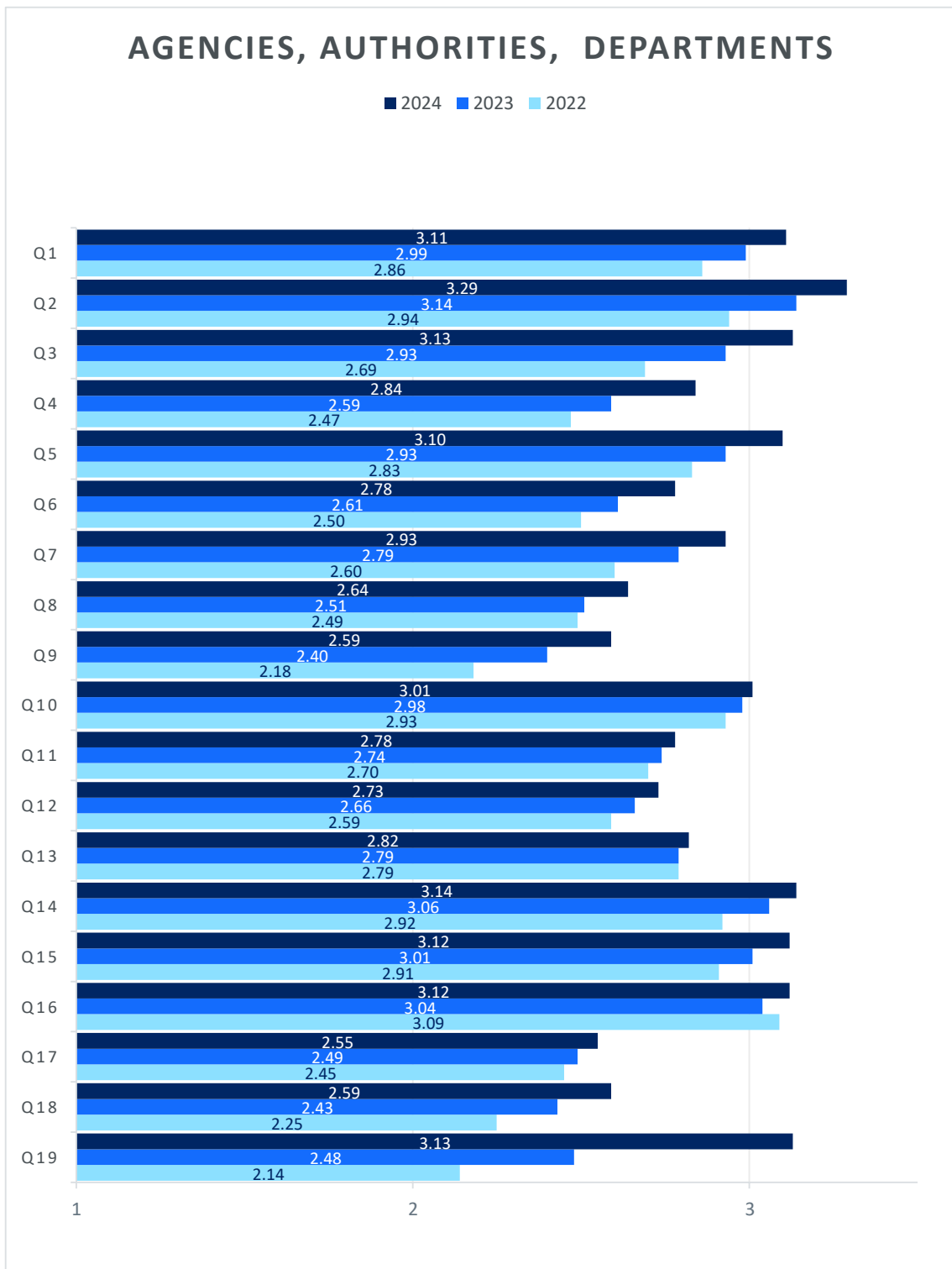
The graphs below show the average of scores for each question for all public offices in each sector of the jurisdiction. This enables us to see how each public office type of the jurisdiction is performing.

In 2024, the overall maturity of each public office type demonstrated improvement, but there were some fluctuations in the results for individual questions compared to 2023 results. Viewed on the basis of average scores across public office types:

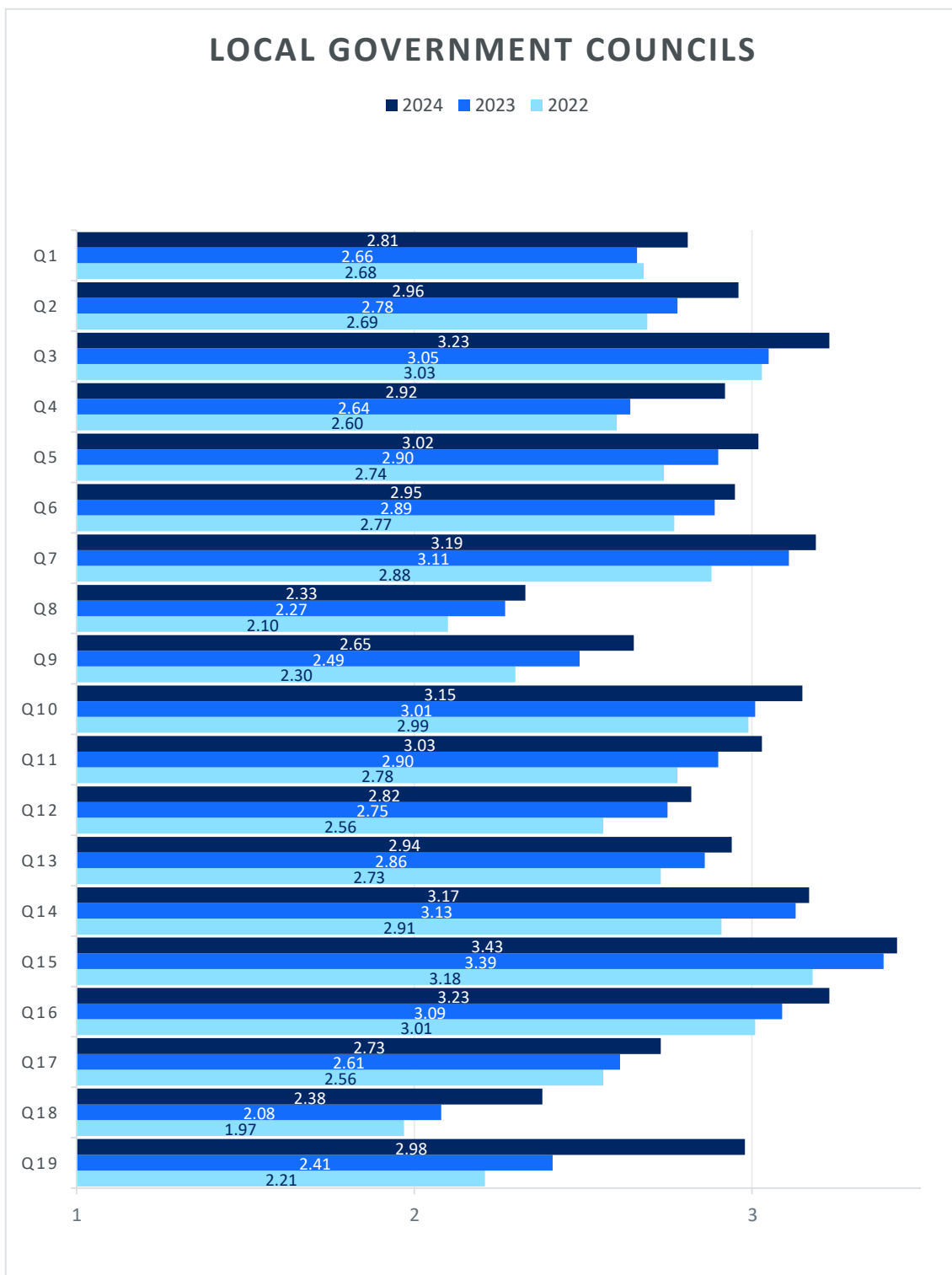
- Agencies, Authorities and Departments and Local Government Councils have improved in every question.
- Local Health Districts have improved in some questions, but results decreased in 7 questions.
- State Owned Corporations have improved in some questions, but results decreased in 6 questions.
- Universities have improved in some questions, but results have decreased in 9 questions. Scores for Questions 4, 8, 14 and 17 have also remained the same.

Decreases in average scores per question could reflect greater participation in the Monitoring Exercise by public offices in a particular sector.

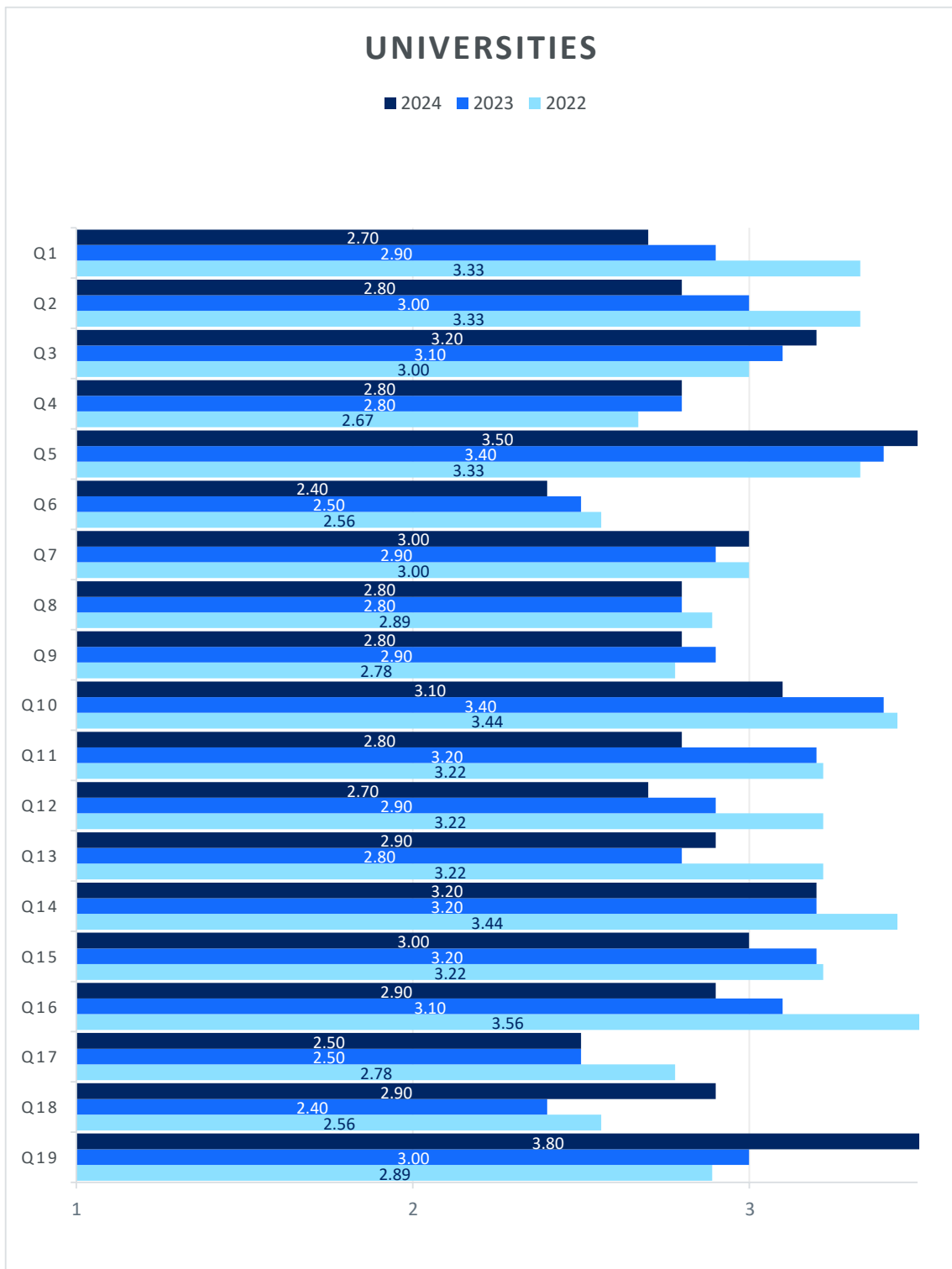
5.1 Agencies, Authorities, Departments



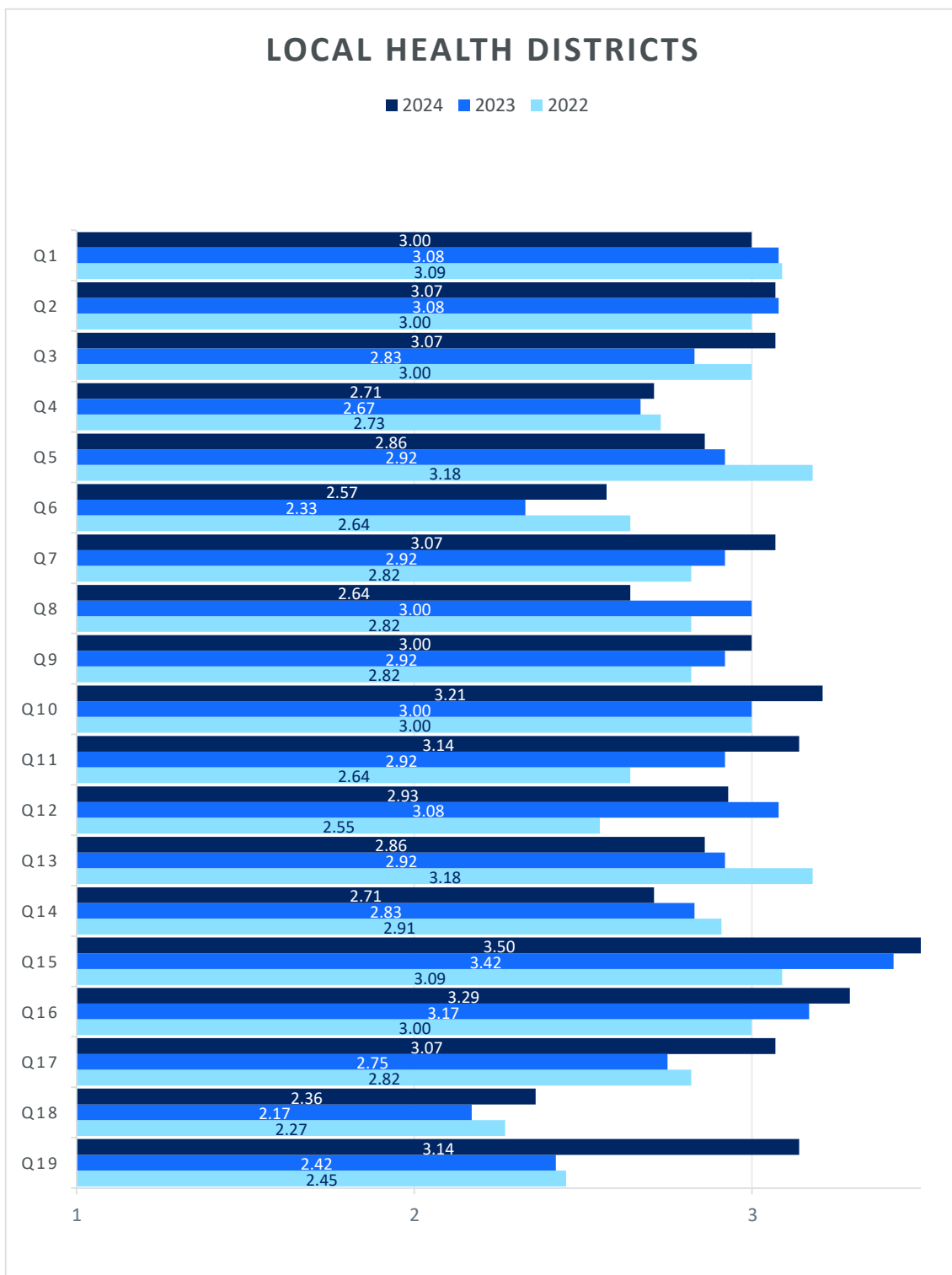
5.2 Local Government Councils



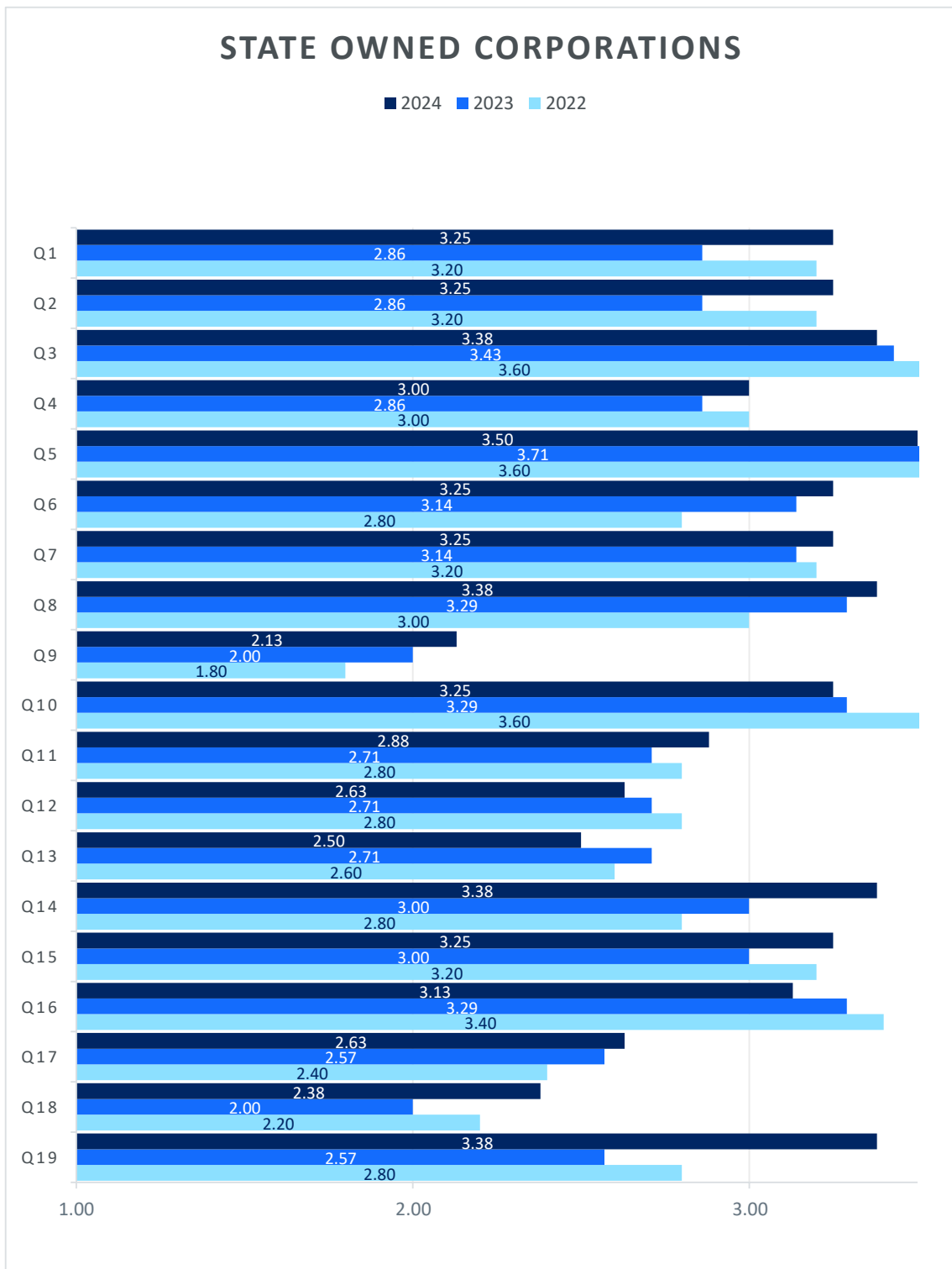
5.3 Universities



5.4 Local Health Districts



5.5 State Owned Corporations



6 Appendix A

40 public offices did not respond to the 2024 Recordkeeping Monitoring Exercise

Public Office Type	Public Office
Agency, Authorities, Departments	<ol style="list-style-type: none">1. eHealth NSW*2. Greater Sydney Parklands3. Health Infrastructure4. Health Professional Councils Authority5. Jenolan Caves Reserve Trust6. Legal Profession Admission Board7. Multicultural NSW8. Natural Resources Access Regulator9. NSW Skills Board10. Parliamentary Counsel's Office11. Solicitor General and Crown Advocate
Local Government Councils	<ol style="list-style-type: none">12. Balranald Shire Council13. Bellingen Shire Council14. Bland Shire Council15. Brewarrina Shire Council16. Byron Shire Council17. Castlereagh Macquarie County Council18. Coolamon Shire Council19. Coonamble Shire Council20. Dubbo Regional Council21. Edward River Council22. Eurobodalla Shire Council23. Gilgandra Shire Council24. Hay Shire Council25. Hilltops Council26. Junee Shire Council27. Liverpool City Council28. Lockhart Shire Council29. Muswellbrook Shire Council30. Oberon Council31. Singleton Shire Council32. Upper Hunter County Council33. Walcha Council34. Walgett Shire Council

Public Office Type	Public Office
	35. Warren Shire Council 36. Warrumbungle Shire Council 37. Waverley Council 38. Weddin Shire Council 39. Wingecarribee Shire Council
Local Health Districts	40. Northern NSW Local Health District

**Submission from eHealth NSW was received after the Recordkeeping Monitoring Exercise had closed.*

7 Appendix B

13 public offices did not respond to the Recordkeeping Monitoring Exercises in 2022, 2023 and 2024

Public Office Type	Public Office
Agency, Authorities, Departments	<ol style="list-style-type: none">1. Jenolan Caves Reserve Trust2. Legal Profession Admission Board3. Multicultural NSW4. Solicitor General and Crown Advocate
Local Government Councils	<ol style="list-style-type: none">5. Brewarrina Shire Council6. Castlereagh Macquarie County Council7. Coonamble Shire Council8. Dubbo Regional Council9. Gilgandra Shire Council10. Liverpool City Council11. Upper Hunter County Council12. Walgett Shire Council13. Warren Shire Council

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