Simple Performance Indicators (PIs)

PERFORMANCE INDICATORS ARE A METHOD OF MONITORING THE EFFECTIVENESS OF THE RECORDS AND DOCUMENT MANAGEMENT PROGRAM (RDMP) AT YOUR ORGANISATION.

In this Help Sheet, IRIS will provide you with a collection of simple Performance Indicators which can be used to measure the effectiveness of different aspects of your RDMP. The results of Performance Indicators are easily captured on recording instruments such as an Excel spreadsheet.

Performance Indicators also help us to discover if there are issues with an organisation's training needs. As we measure performance around the effectiveness of Policies and Procedures, File/Folder/Container use and management, and Records Disposal and Digitisation, the training needs of staff will become clear as gaps in performance are revealed.

Whilst you train new people when they join an organisation in how your organisation expects them to create and capture records in the conduct of their role, your PIs help you to establish how effective your training is.

POLICIES AND PROCEDURES

Percentage of the organisation's Staff who have read and confirmed that they understand the content of the organisation's Information and Records Management Policies and Procedures – a training and measurement tool such as the IRIS Search, Protect and Connect eCourse will achieve this. Staff should complete a form to indicate which Records Management Policies and Procedures they have read and understood, and those which they did or did not understand.

Staff are required to sign a form – electronically via email – to confirm this. Any Staff who do not understand any of the contents should be assisted to the point that they are able to sign to state they understand the requirements of the Records Management Policies and Procedures. The signed form should be held on each relevant Personnel or HR file as evidence, and a spreadsheet used to record the numbers of Staff who read and understood the Policies and Procedures.

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FILE/FOLDER/CONTAINER PERFORMANCE INDICATORS

Each quarter, randomly select a number of different but CURRENTLY USED files, and record the results on a spread-sheet as follows:

- Has the file been titled correctly?
- Do the contents of the file match its title?
- Has the file been accessed in the past 2 months?
- Does the file contain any emails added in the past 2 months?
- Does the file contain any documents added in the past 2 months?
- Has the file been Sentenced correctly? That is, does the file contain the correct Retention and Disposal value taken from the correct Retention and Disposal Schedule?
- Have there been any security breaches?
- What percentage of documents added since August 2020 contain an Information Classification from the WA Government Information Classification Policy, that is:

  UNOFFICIAL

  OFFICIAL, or

  OFFICIAL: Sensitive

- Does the file contain any personal information that is subject to the Privacy Act and Privacy Principles. If it does, are the requirements being met?

DISPOSAL OF RECORDS PERFORMANCE INDICATORS

Performance Indicators collected for the Disposal of Records form part of the organisation's Disposal Program.

Capture the measures indicated below:

- How many boxes of files have been reviewed and the file contents Sentenced?
- How many boxes of files have been Disposed?
- How many files have been identified as to be retained permanently by the organisation?
- How many files have been identified as State Archives?
- When was the Sentence reviewed prior to any destruction taking place?

Note: what is being discussed above relates to physical files, but Disposal should also take place for electronic files. Electronic files must go through a review process just as physical files do prior to their eventual Disposal.

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Why is that required? Because to dispose of files using an automated process can result in files that are subject to a current Inquiry, or contain contentious material, becoming susceptible to a new government requirement to maintain records with particular contents. This happens because since the file was created and first Sentenced, the situations listed above may have arisen and if the file is destroyed automatically without the review process, then the organisation risks destroying records that it should have retained.

DIGITISATION OF RECORDS PERFORMANCE INDICATORS

Performance Indicators collected for the Digitisation of Records forms part of the Digitisation Program. Capture the measures indicated below:

- How many documents/faxes have been digitised each week? We should see these numbers drop as more documents are received electronically.
- Do the scanned images meet the requirements of the General Disposal Authority (GDA) for Source Records, including any Digitisation Specifications? There are some standard Quality Assurance measures and processes to be captured, which can be used to measure the quality of the images created.
- Have the scanned images been batch processed by date?
- Have the contents of each batch box been randomly checked to confirm the quality of the scanned image (e.g. a sample of 5 documents from each box)?
- Has the date each batch of source documents is disposed of been recorded?
- Has a destruction certificate signed by the parties who destroyed the contents within boxes been issued and retained?

TRAINING

1. All Staff and Contractors

Percentage of Staff trained in various information and recordkeeping courses, for example:

- Online Records and Information Course for All Staff such as the IRIS Search, Protect and Connect eCourse
- Online Information Classification training
- Online training courses that the organisation uses to train All Staff
- Face to Face (In Person) Records and Information training

2. Information and Records Management Staff

- Percentage of Information and Records Management Staff trained in various training courses specific to Information and Records Management

Record all courses attended by Staff and Contractors on a spreadsheet.

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