

Recordkeeping Assessment Tool (RKAT)

Peter Francis | Records Management Network | October 2018



RKAT Project

RKAT is for agencies to assess their performance maturity against the mandatory PROV Recordkeeping Standards and Specifications

Developed with Judith Ellis and the assistance of an external stakeholder advisory group. Piloted with four organisations

Build commenced 1 July 2018

Planned release 1 Jan 2019

It's a maturity tool

Across a range of measurement areas

For each measurement area there are five maturity statements, and agencies are instructed to select the statement that best fits with their current state

The structure and content were deliberately designed so that they roughly align with but are not lifted verbatim from the Standards and Specifications.

This approach allows RKAT and the Standards and Specifications to each be adjusted over time, to ensure currency and relevance, without adversely affecting the other.

7 Are records classified in accordance with business classification schemes that are aligned with access and disposal controls?

Records classification according to predefined structures or rules is dependent on each business area or individuals.

Some areas have defined business classification schemes and applied them to recordkeeping systems.

Business classification scheme/s have been developed that cover all areas of business. Stakeholder consultation is part of the development process. Procedures for use of the scheme/s are defined and largely followed by staff.

Regular assessment of the use of business classification scheme/s is undertaken, analysed and corrective action taken where needed. Business processes, access controls and disposal programs are linked to the business classification scheme/s.

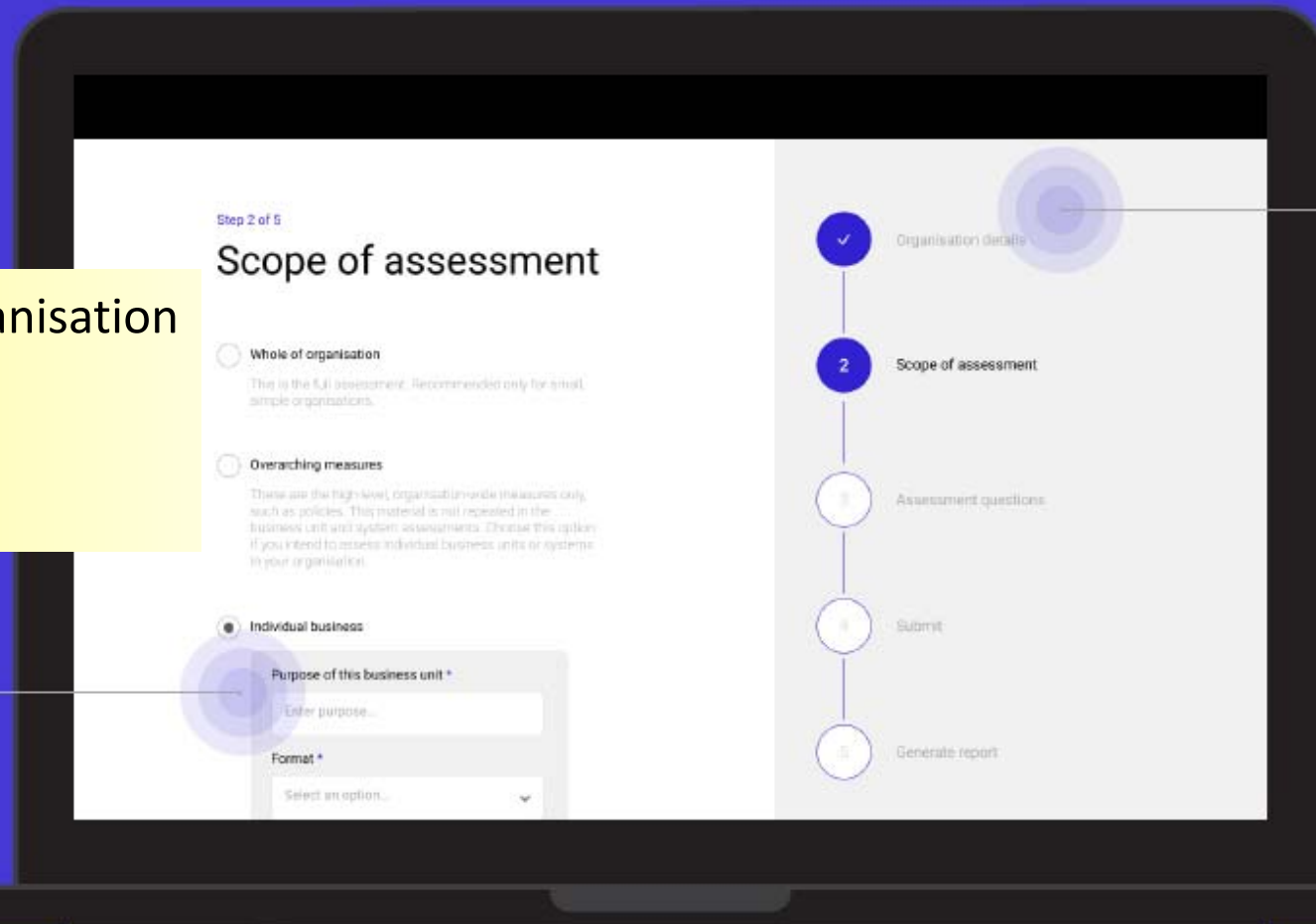
Business classification schemes are reviewed and amended in the event of changes to the organisation's structure, functions or business processes. The language is aligned where multiple business classification schemes are used across the organisation.

How it works

- Agencies do not need to provide metrics, some of which may not be readily to hand. Depending on the size of the agency, the assessment should be able to be completed by a specialist member of staff or by a small group as a workshop
- Agencies are not discouraged by being faced with yes/no questions, with subsequent low scores. The experience is not one of pass/fail, but of continuous improvement
- Small improvements are able to be reflected
- Agencies are able to see what improved practice looks like and what they need to do to achieve the next level

- Whole of organisation
- Strategic
- Business unit
- System

Extra questions only appear if a user selects "individual business" or "individual system". Keeps the form clear and only presents users with the information they need.



Visual feedback user so they know they have completed a section



When a user selects 'Continue' they will receive an email confirming that they have started a new assessment which will also include the access token and token to access the assessment if they pause/stop.



- Five statements
- Scale 1 to 5
- Half increments

Rating slider scale so users can select their rating. Includes half increments. The rating box with supplementary text will change colour as the rating changes to give users visual feedback and link the rating with the text.

Number indicator in the slider.

Space for commentary and notes.

Step 3 of 5 / Question 1 of 10

Strategic management

Q1.1
Are full and accurate records being systematically created to meet business needs, accountability requirements and community expectations?

Rating

Rating heading
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1

Organisation details

Scope of assessment

3 Assessment questions

Submit

Generate report

Comments

Justification

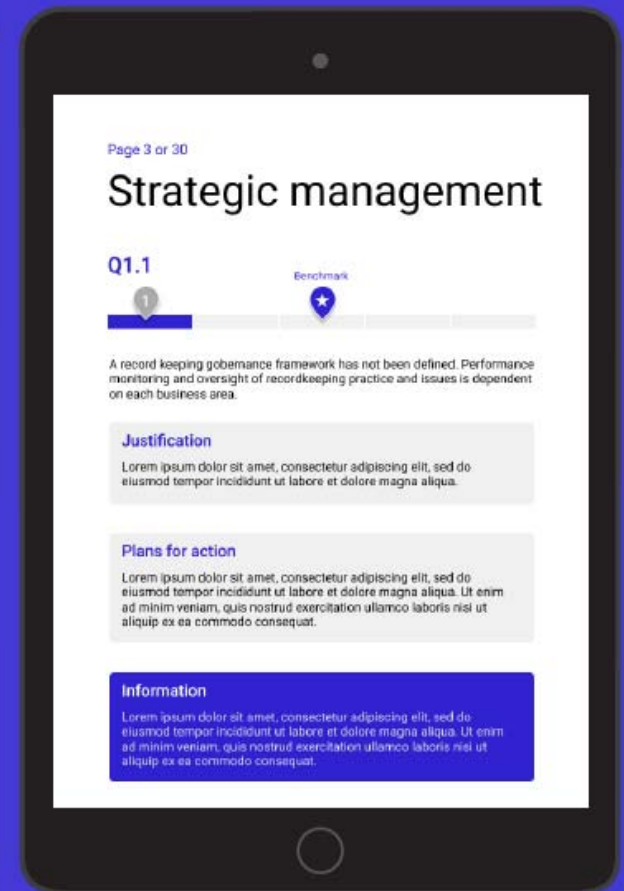
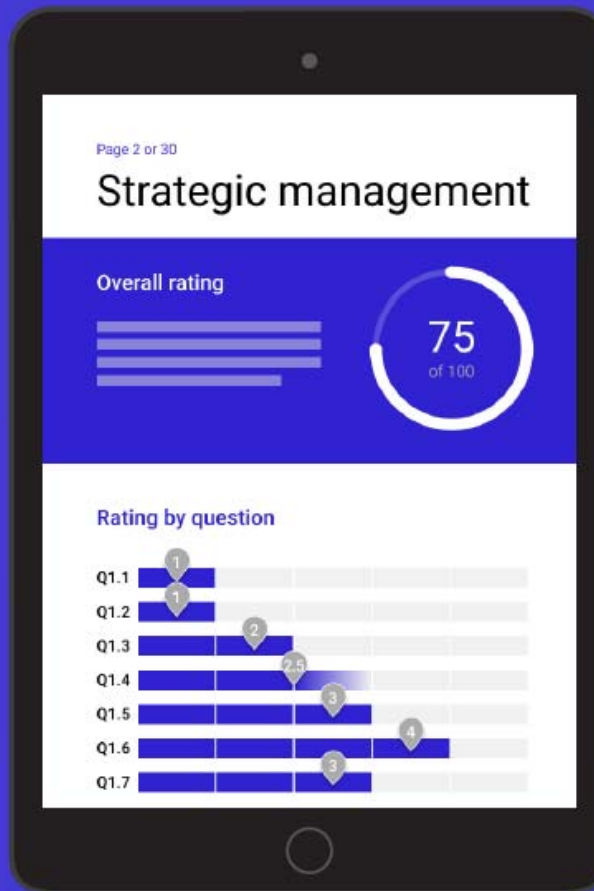
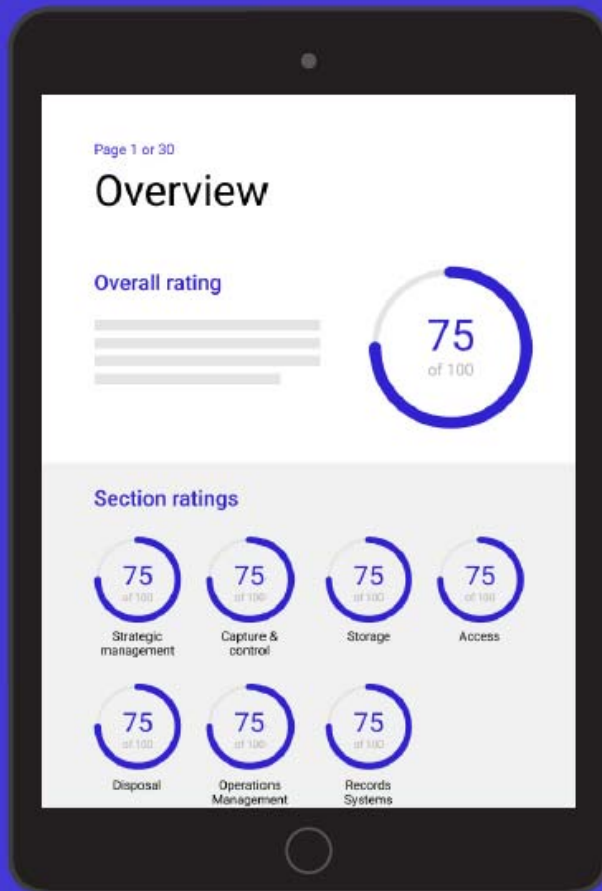
Enter justification...

Plans for action

Enter ideas for action...

- Justification**
- reasons for lower than expected result
- Plans for action**
- emphasis on improvement
- Notes**
- capture ideas for development

- Enable identification of problem areas
- Provide a record
- Basis for planning



Related to the Standards to facilitate...

Your evidence

Document your performance against the Standards

Successive RKAT submissions will demonstrate a pattern of continuous improvement

You will be able to attach documents to your submission

Our guidance

We can provide a link between practise and Standards

We can link and relate our guidelines, tools, checklists, etc., to use

RKAT will progressively add contextual links to the Standards and other resources

Relationship between the IM3 and RKAT

IM3 assesses information management maturity at a strategic level against a range of requirements including some PROV requirements

RKAT focuses explicitly on the records management requirements set out in the PROV Standards and Specifications

The ideal situation would be for an agency to complete the IM3 tool and then complete the RKAT to produce a detailed picture of their performance

Need More Information?



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