

# 2014-15 Report on the Recordkeeping Survey of Queensland Public Authorities

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## Executive Summary

### About the 2014-15 survey

As the Queensland Government's records management authority, Queensland State Archives (QSA) administers the *Public Records Act 2002*<sup>1</sup> (the Act), which applies to over 500 public authorities. Under the Act, QSA surveys public authorities biennially to collect recordkeeping data and measure compliance against the minimum requirements of *Information Standard 40: Recordkeeping (IS40)*<sup>2</sup> and *Information Standard 31: Retention and Disposal of Public Records (IS31)*<sup>3</sup>.

The results of these surveys assist QSA to fulfil its legislative responsibility to assess and report on the extent to which public authorities are complying with the *Public Records Act 2002* and the recordkeeping Information Standards. Analysis of the survey data provides QSA with some ability to identify longitudinal trends across the sector and develop advice and other tools to assist public authorities to improve their recordkeeping practices. These surveys are also intended to assist public authorities to self-identify recordkeeping performance, and to highlight areas requiring improvement.

The 2014-15 Recordkeeping Survey is the fourth survey following the 2009 Recordkeeping Baseline Survey and the 2011 and 2013 Recordkeeping Surveys. All four surveys have been administered with the assistance of the Queensland Government Statistician's Office (formerly the Office of Economic and Statistical Research), Queensland Treasury.

### Survey methodology

Consistent with the 2009 and 2011 surveys, only public authorities known to manage their own records were invited to participate in 2014-15. In 2013 all public authorities were asked to participate, including those where another public authority managed their public records, although this latter group were exempt from answering the majority of questions. As a result:

- response rates cannot be directly compared across all survey iterations
- comparisons of results across surveys are limited to public authorities that manage their own public records.

Of the 245 in-scope public authorities invited to complete the 2014-15 survey, 193 completed the survey, for a response rate of 79%.

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<sup>1</sup> <http://www.legislation.qld.gov.au/LEGISLTN/CURRENT/P/PublicRecA02.pdf>

<sup>2</sup> <http://www.ggcio.qld.gov.au/products/electronic-document-and-records-management/548-qgea/products/qgea-documents/information/2357-recordkeeping-is40>

<sup>3</sup> <http://www.ggcio.qld.gov.au/products/electronic-document-and-records-management/548-qgea/products/qgea-documents/information/2360-retention-and-disposal-of-public-records-is31>

For the purpose of analysis, responding public authorities were grouped into three sectors:

- government departments
- local government authorities
- other public authorities (for example, tribunals, statutory authorities, commissions, tertiary education bodies, boards, and Government Owned Corporations).

For the first time, public authorities received individual, confidential scorecards of their responses to the 2014-15 Recordkeeping Survey. These scorecards enable public authorities to compare their responses to the survey questions against responses from other public authorities of the same sector (i.e. departments, local governments or other public authorities). They also serve to highlight achievements and improvements as well as identify areas that may need further attention or adjustment.

Furthermore, QSA supports the Queensland Government's open data initiative. Data identified for potential disclosure has been assessed, de-identified and had free text removed in preparation for release through the Queensland Government's open data portal. At the beginning of the survey public authorities were required to indicate on a checkbox if they agreed for their data to be released.

## Key findings

### Improvements

Overall, the 2014-15 Survey results indicate progress is continuing to be made in public authorities to improve their levels of recordkeeping maturity. While some of the compliance level results remain largely unchanged from the 2013 Survey, some improvements were identified in the following critical areas:

#### 1. Monitoring and auditing of recordkeeping practices

The 2013 Survey identified a generally low level of compliance (12%) with IS40 Principle 2 which requires recordkeeping systems, procedures and practices to be periodically monitored, evaluated and revised. The 2014-15 Survey identified that 20% of public authorities are now deemed 'compliant' with this principle.

#### 2. Assignment of recordkeeping activities/responsibilities

The majority (91%) of all public authorities were classified as 'compliant' with IS40 Principle 3, which deals with formally assigned responsibility for recordkeeping activities and communicating roles and responsibilities for records management across the organisation. This level of compliance was due to the large percentage of public authorities that formally assign recordkeeping activities to staff<sup>4</sup> (93%), and/or that have a means of communicating recordkeeping roles and responsibilities across the organisation<sup>5</sup> (97%). Additionally, the percentage of public

<sup>4</sup> Includes all response categories except "No responsibilities for recordkeeping activities formally assigned" and "Other—Opportunity for improvement"

<sup>5</sup> Includes all response categories except "No recordkeeping roles and responsibilities communicated" and "Other—Opportunity for improvement"

authorities with no formal assignment of recordkeeping responsibilities to staff decreased from 9% in 2013 to 6% in 2014-15.

### **3. Proportion of public authorities with a fully developed and implemented Retention and Disposal Schedule covering core-business records**

The percentage of responding public authorities with an approved and fully implemented retention and disposal schedule has increased since the 2009 Survey. In the 2009 Survey 33% of public authorities had an approved, implemented schedule compared with 44% in 2014-15. Similarly, the percentage of authorities with no approved schedule<sup>6</sup> has decreased each year, from 46% in 2009 to 31% in 2014-15.

## **Challenges**

In addition to these general findings, three strategic issues, arising from the 2014-15 results, have been highlighted for consideration by QSA:

### **1. Public authorities need to improve digital continuity maturity**

The 2013 Survey included a number of questions regarding digital continuity strategies in public authorities. Survey respondents were asked the same questions in the 2014-15 Survey to inform the QSA digital archives program.

Overall, 46% of public authorities were confident that all their digital information would remain accessible for the whole of its required retention period. This is slightly down from the 2013 figure of 47%. Positive responses to this question from government departments dropped to 38% compared to 50% in the 2013 Survey.

Respondents who indicated some level of uncertainty regarding the continued accessibility of their authority's digital information were asked the reasons as to why they may find it difficult to ensure accessibility. The most common reason cited was increasing volumes of digital records (51%).

In planning for a future digital archive, QSA asked if public authorities had any permanent value digital records, which could potentially be transferred to the custody of QSA. Nineteen per cent of respondents said yes, 46% said no but a further 35% were unsure.

QSA recognises the challenges associated with ensuring the future accessibility of digital records and is continuing to make progress towards fulfilling its Digital Continuity by Design vision. QSA will shortly commence early market engagement to identify viable digital archiving solutions that will initially enable agencies to transfer their permanent value digital records to the custody of QSA. These solutions will also be made available to help agencies preserve their long-term temporary value digital records in the future.

### **2. Need to increase coverage of retention and disposal schedules**

In accordance with IS31, public authorities must develop and implement a sector, functional or agency-specific retention and disposal schedule. When approved by the State Archivist, public authorities can lawfully dispose of their core business public records using these schedules.

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<sup>6</sup> Includes response categories "Partial schedule only", "Schedule is under development" and "No core business schedule approved".



The 2014-15 Survey responses reflect continual progress in this area with 44% of responding public authorities indicating that they had an approved and fully implemented retention and disposal schedule in place. This compares with 40% in 2013, 38% in 2011 and 33% in 2009. This increase is consistent with the number of retention and disposal schedules lodged for approval by the State Archivist in the last two years, as well as increased coverage in sector-wide and functional schedules.

In 2013 a new question was added to the survey, asking respondents to indicate whether their public authority had any plans to develop a new or revised core retention and disposal schedule in the next two years. In the 2014-15 Survey, 40% indicated plans to develop or revise a schedule within two years.

The survey responses indicate that there is still a need for the further development of schedules dealing with core business records to enable the timely and efficient disposal of public records.

### **3. Need to support agencies to identify and transfer permanent physical records to the custody of Queensland State Archives**

QSA accepts the transfer of hard copy public records that have been designated as permanent in a current retention and disposal schedule. The 2014-15 Survey included a series of questions relating to the current quantity of hard copy permanent records in the custody of public authorities and their intentions to transfer those records to QSA. Survey participants were first asked to provide an estimate of the total quantity of permanent hard copy records held. Interestingly, only 39% of respondents were able to provide an estimate, with the majority of participants (61%) unable to answer. The final question asked respondents to estimate the quantity of public records intended for transfer to QSA within the next two years. Only 14% were able to estimate the quantity of records intended for transfer, 38% did not intend to transfer, and the remaining 48% were unable to provide an estimate.

While the survey did not seek information about reasons agencies could not specify the volume of hard copy permanent records in their custody, potential reasons include agencies:

- having large volumes of paper records as they have not had an active disposal program
- not having an approved retention and disposal schedule for core business records.

The volume of hard copy permanent records to be transferred are of particular interest to QSA as QSA currently has space for a further 46 kilometres of hard copy records in its purpose built records storage facility at Runcorn. Agencies have also advised QSA, via mechanisms other than this survey (e.g. meetings and other forums), that dealing with existing paper holdings is a challenge they are finding difficult to overcome.

## **Future directions**

Since the last Survey, QSA has completed the following:

- the launch of QSA's new approach, *Keeping Records Together*, which included new website-based recordkeeping advice known as Recordkeeping Single Point of Truth (SPOT)
- a partnership with a key agency on paperlite including disposal of large volumes of paper records, which resulted in the development of advice for all agencies (for example, *What records do I need to keep?*)

- new ways of engaging with agencies including drop-in sessions to provide feedback and Extended Conversations events to encourage connections and exchanges between QSA and agencies and between agencies themselves
- the release of GRDS lite, a condensed version of the *General Retention and Disposal Schedule for Administrative Records* (GRDS)—this version of the GRDS offers an alternative for sentencing administrative records by reducing the number of record classes from 401 to 58
- the release of *Transitory Records and Short Term Retention and Disposal Schedule* (QDAN720v1)—authorisation for disposal of records that are created as part of routine transactional business practices and are only required for a short period of time
- initiated Records Connect blogs on a wide range of different recordkeeping topics
- the release of a revised Queensland records policy framework and Customer Charter for agencies.

While the *2013 Report on the Recordkeeping Survey of Queensland Public Authorities* indicated QSA would consider the need for specific advice on the monitoring and auditing of recordkeeping practices, given QSA's move away from compliance, the focus has instead, been on developing partnerships and improving web-based recordkeeping advice.

In the future QSA will:

- commission a review of the *Public Records Act 2002* to improve and modernise the legislative framework for records and information management in Queensland for a digital age—this review has the potential to impact on QSA's information standards, recordkeeping advice and future Recordkeeping Surveys
- continue to work towards improving the digital continuity capability of Queensland public authorities records through the digital archives program
- work with agencies, including developing partnerships, to develop advice on specific recordkeeping challenges including reducing holdings of existing paper records
- continue to assist public authorities to develop core business retention and disposal schedules and sector schedules
- liaise with public authorities to assist them to identify and transfer permanent physical records to the custody of QSA based on the information supplied by agencies in response to this survey.

The information that has been gathered from recordkeeping surveys has provided valuable insight to QSA about the current state of recordkeeping in Queensland public authorities. It has also informed the development of advice for the continuous improvement of recordkeeping practices in Queensland public authorities.

Since the initial 2009 benchmarking, little has changed in relation to the survey questions. This has served as a useful strategy to measure improvements, identify trends and changes over time. However, for the survey results to remain accurate, useful and meaningful, the questions should be reviewed to ensure they continue to be reliable and valid. Consequently, QSA will undertake a review of this survey over the next two years, in consultation with agencies, to determine if it remains the best mechanism for assessing the current state of recordkeeping in public authorities.

## Results–Digital Continuity

The following section of the report outlines results of the Digital Continuity section of the survey.

### Digital continuity

As the official custodian for Queensland public records and as lead agency for government recordkeeping, QSA has a key role to play in ensuring that all public records, regardless of format, are preserved and remain accessible for as long as required. Ensuring long-term access to digital records presents many challenges due to the deterioration of storage media; obsolescence of software, storage media, and hardware; and the complexities associated with authenticity and integrity of digital records. QSA has published the [Queensland Government Digital Continuity Strategy: Future proofing the critical digital records of government business](#), which outlines a strategy for managing long-term digital records.

Under the *Public Records Act 2002*, public records, including those in digital form, can only be disposed of with authorisation from the State Archivist. There is no ‘default’ period for how long digital records should be kept and retention periods can range from ‘retain until reference ceases’ to 20, 50 or 120 years, or even permanent retention, as indicated in authorised [retention and disposal schedules](#).

21 government departments.

- Just under one in five (19%) public authorities indicated that they have permanent value digital records which could be transferred to a digital archive, while 35% of authorities were unsure if they have any transferrable digital records.

### Analysis

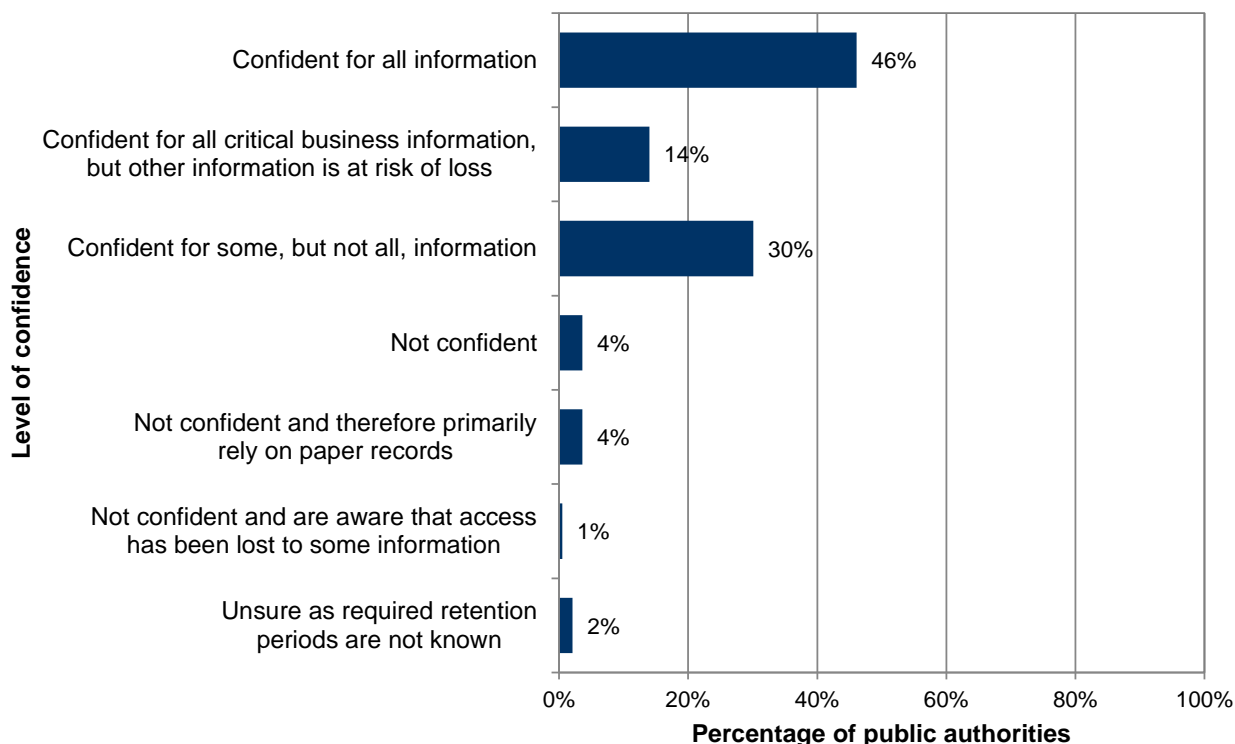
Respondents were asked if they were confident that their public authority’s digital information will remain accessible for its required retention period. At the time of the survey, 46% of all responding public authorities indicated that they were confident that all information would remain accessible for the necessary amount of time (see Figure 1). A total of 8% indicated that they were not confident<sup>7</sup>, including 4% who said that their authority primarily relies on paper records. A further 2% stated that they were unsure, as the required retention periods for their records were not known. One public authority indicated that they were aware access to some digital information had been lost.

### Survey findings

- Overall, 46% of public authorities were confident that all of their digital information will remain accessible for the whole of its required retention period, including 8 of

<sup>7</sup> Includes response categories “Not confident”, “Not confident and therefore primarily rely on paper records” and “Not confident and no print to paper systems in place”

**Figure 1: Level of confidence that digital information would remain accessible for required retention period, Overall, 2014-15**



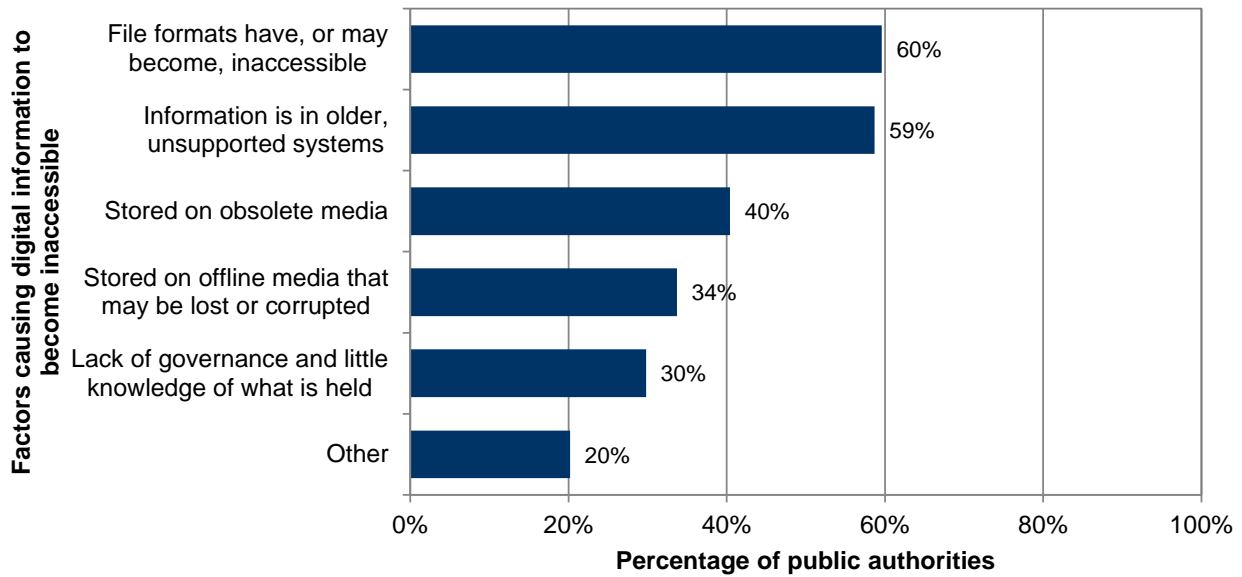
Confidence levels differed slightly across sectors, with 38% of government departments, 44% of local government authorities and 49% of other public authorities indicating that they were confident that all of their digital information will remain accessible for its required retention period. Across authority sizes, a smaller percentage of large authorities (28%) were confident that all of their digital information will remain accessible for its required retention period than authorities with less than 1000 FTE staff<sup>8</sup> (51%).

Respondents who indicated some level of uncertainty regarding the continued accessibility of their digital information<sup>9</sup> were asked about risk factors leading to information becoming inaccessible. Refer to Figure 2 for full results. Of these public authorities, 60% cited file formats that have, or may, become inaccessible as a risk factor, and 59% of authorities pointed to digital information stored in older, unsupported systems.

Of the 13 government departments that were not confident that all of their digital information will remain accessible for its retention period, 12 cited older, unsupported systems and 11 cited outdated file formats as risk factors. Across authority sizes, fewer small authorities (39%) were concerned about information in unsupported systems than medium authorities (71%). Among large authorities, file formats were the most commonly cited factor (61%).

<sup>8</sup> Includes both small (less than 100 FTE staff) and medium (100 to less than 1000 FTE staff) size categories

<sup>9</sup> Includes all response categories except “Yes, (confident that digital information will remain accessible for its required retention period) for all information”

**Figure 2: Factors causing digital information to become inaccessible, Overall**

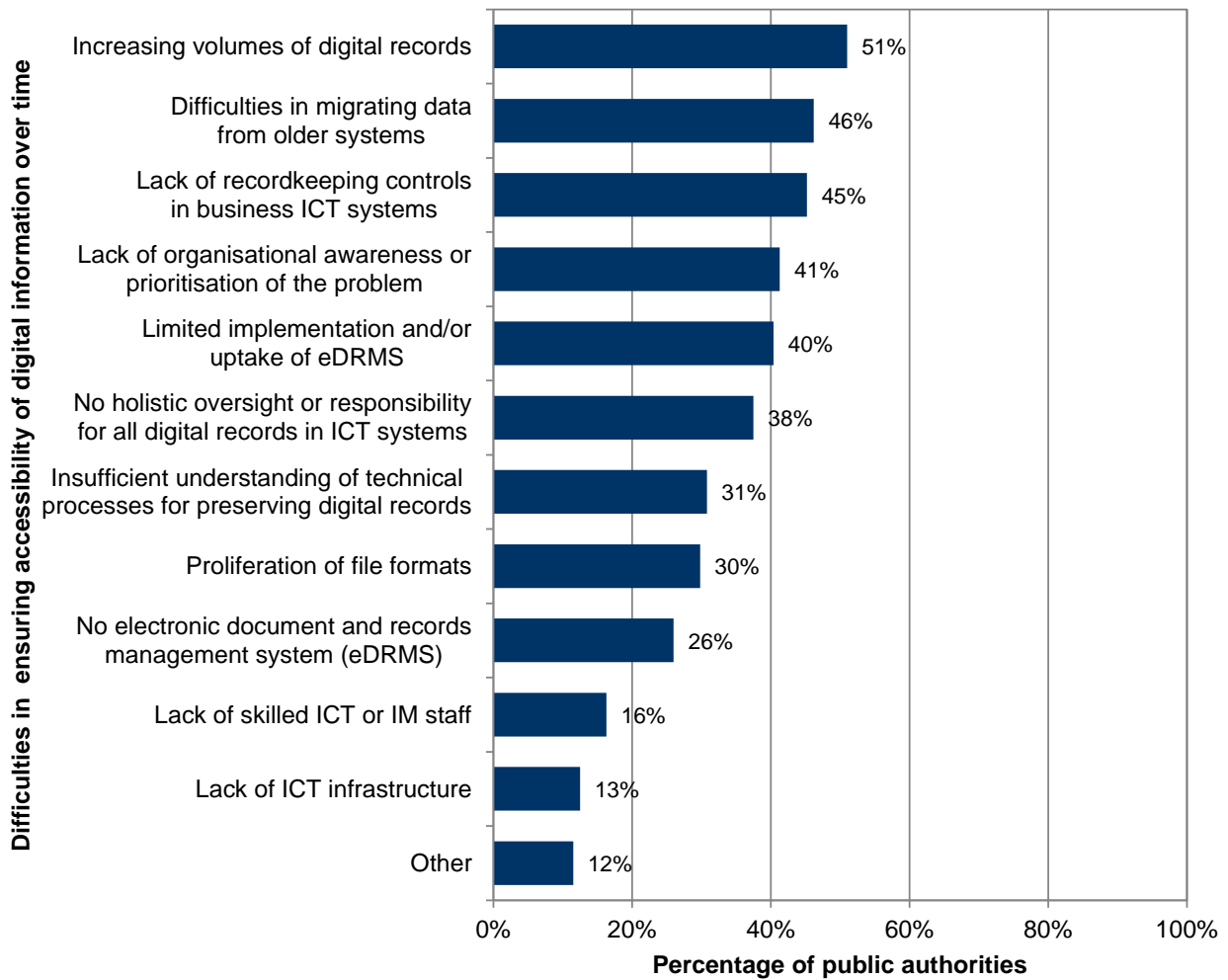
Respondents who indicated some level of uncertainty regarding the continued accessibility of their digital information<sup>10</sup> were also asked about reasons that their public authority may find it difficult to ensure the accessibility of their digital information over time. Refer to Figure 3 for results. The most common reason was increasing volumes of digital records, with 51% selecting this option.

Across sectors, relatively large percentages of government departments cited a lack of recordkeeping controls in business ICT systems (77%) and a lack of organisational awareness or prioritisation of the problem (69%) compared to other sectors. Increasing volumes of data was the most common reason among local government authorities (58%), while limited implementation and/or update of an electronic document and records management system (eDRMS) was the most popular reason among other public authorities (48%). The main obstacles for large public authorities were a lack of recordkeeping controls (61%) and increasing volumes of digital records (61%), whereas the absence of an eDRMS was the main reason among small authorities (43%).

Responding public authorities were asked if they have any permanent value digital records which are no longer required for current business use and could potentially be transferred to a digital archive. Nineteen per cent of authorities said yes, while 46% said no, and 35% were unsure. Across sectors, large authorities appeared to be more likely to have transferrable digital records, with 30% of large authorities saying yes, compared with 19% of medium authorities and 13% of small authorities.

<sup>10</sup> Includes all response categories except "Yes, (confident that digital information will remain accessible for its required retention period) for all information"

**Figure 3: Difficulties in ensuring accessibility of digital information over time, Overall**



Due to the nature of the remaining digital continuity questions and the variable quality of responses, the data quality was not sufficient to report on. As part of the Digital Archives program further analysis will be undertaken by QSA on the responses received.

## Results—Transfer and storage volumes

The following section of the report outlines results of the Transfer and storage volumes section of the survey.

Once public authorities have no further regular use for hard copy permanent public records, they can transfer those records to QSA's purpose-built archival facility at Runcorn. While the records are in the custody of QSA, the public authority retains ownership for the records.

### *Survey findings*

- An estimate of the total quantity of permanent paper-based records held by agencies was provided by

39% of responding public authorities; and 22% of those agencies were able to provide estimates of quantities of records held in other physical formats (e.g. photographs, maps and plans, microfilm).

- Fourteen per cent of respondents provided an estimate of the quantity of permanent records their public authority intends to transfer to QSA within two years, 38% do not intend to transfer any records, and the remaining 48% were unable to provide an estimate.

### *Analysis*

Respondents were asked three questions concerning the quantities of permanent public records held by their public authority, and the quantities of records intended for transfer to QSA within the next two years. Due to the large variety of formats and units of measurement involved in describing this information, responses were sought in open-text format. Relatively small percentages of authorities were able to provide estimates for these questions, and many of the responses provided were ambiguous or inadequately explained. As a result, meaningful conclusions regarding quantities of permanent records held by Queensland public authorities cannot be made. However, limited analysis of responses is provided where possible.

Respondents were first asked to estimate the total quantity of permanent paper-based records held by their public authority. An estimate was provided by 39% of respondents, while the remaining 61% were unable to do so. Many responses contained insufficient detail to incorporate in totals (for example, some responses included numbers but no units of measurement), however, those responses with sufficient detail totalled approximately 16,700 linear metres of storage and approximately 163,000 archive boxes of varying sizes.

Respondents were also asked to estimate quantities of permanent records in other physical formats. Only 22% were able to provide an estimate(s) for any of the listed formats. At the time of the survey:

- 18 authorities (9%) held permanent records in photographs
- 18 authorities (9%) held permanent records in maps and plans
- 5 authorities (3%) held permanent records in microfilm
- 10 authorities (5%) held permanent records in analogue audio/visual formats
- 5 authorities (3%) held permanent records in other, unlisted formats.

The final question in this section asked respondents to estimate the quantity of public records intended for transfer to QSA within the next two years. Fourteen per cent of authorities were able to estimate the quantity of records intended for transfer, 38% do not intend to transfer any records, and the remaining 48% were unable to provide an estimate.



## Results–Information Standard 40: Recordkeeping (IS40)

The following section of the report outlines the survey results against each of the seven principles of IS40.

### IS40 Principle 1: Public authority recordkeeping must be compliant and accountable

Public authorities must comply with public records legislation and other legal and administrative requirements for managing records within the areas in which they operate. At a minimum, public authorities must:

- document the business, administrative and legal environment in which they operate, and identify the records which need to be created and managed within those contexts
- implement a strategic approach to recordkeeping that is endorsed by the agency's Chief Executive.

#### *Survey findings*

- A classification of 'working towards compliance' was achieved by

66% of responding public authorities, including 86% of responding government departments, against IS40 Principle 1. This was largely due to the majority of public authorities (77%) that did not have an endorsed, fully implemented recordkeeping strategy<sup>11</sup> at the time of the survey.

- Five per cent of public authorities indicated that none of their business activities and recordkeeping requirements are documented<sup>12</sup>, including one government department.
- Two thirds of government departments (67%) have an endorsed recordkeeping strategy<sup>13</sup>, compared with 50% of departments in 2013.
- Of public authorities with an endorsed recordkeeping strategy, almost all (97%) indicated that the strategy covers all or the majority of business units and/or activities.

<sup>11</sup> Includes all response categories except "Recordkeeping strategy endorsed and fully implemented"

<sup>12</sup> Includes response categories "None documented" and "Other–Opportunity for improvement"

<sup>13</sup> Includes response categories "Endorsed and fully implemented", "Endorsed and being implemented" and "Endorsed but implementation yet to begin"

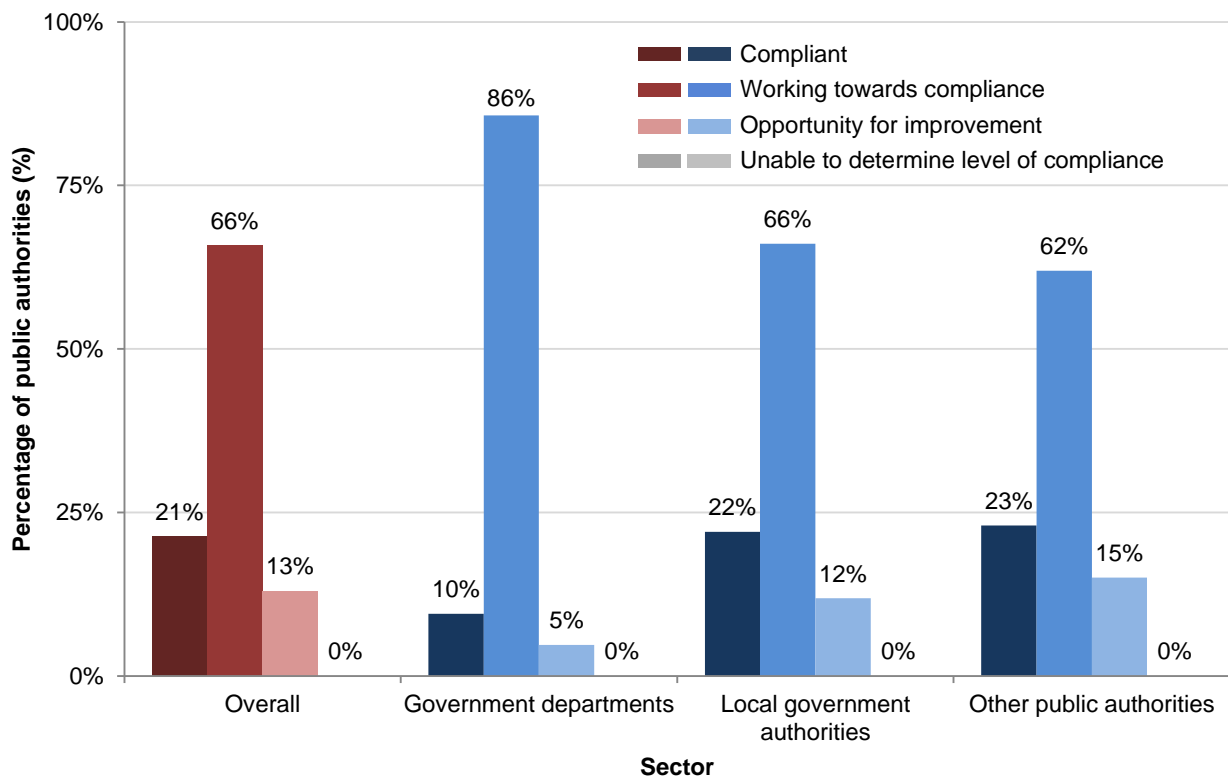
### Compliance

Compliance with IS40 Principle 1 was determined by responses to questions addressing:

- authorities' documentation of business activities and recordkeeping requirements
- whether they have an endorsed, implemented recordkeeping strategy
- what business units and activities are covered by this strategy.

For IS40 Principle 1, 66% of responding public authorities, including 86% of government departments, received a compliance rating of 'working towards compliance' (see Figure 4).

**Figure 4: IS40 Principle 1 compliance ratings, by Sector and Overall**

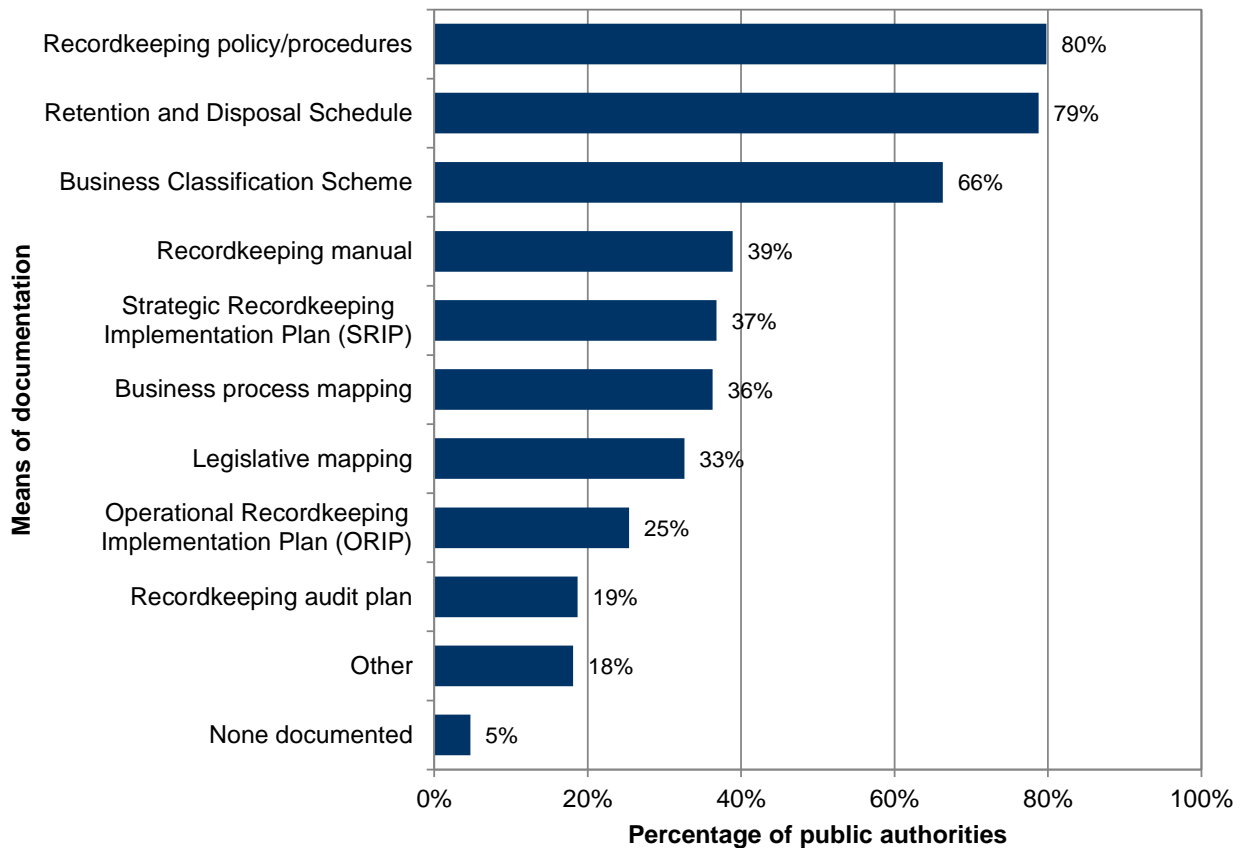


### Analysis

Respondents were asked how their public authority documents its business activities and recordkeeping requirements. The most common methods overall were:

- recordkeeping policy/procedures (80%)
- retention and disposal schedule (79%)
- Business Classification Scheme (66%).

Refer to Figure 5 for full question results.

**Figure 5: Documentation of business activities and recordkeeping requirements, Overall**

In general, larger percentages of government departments document their activities using the methods listed than other sectors, with one exception: a larger percentage of local government authorities than government departments utilise an Operational Recordkeeping Implementation Plan (ORIP) (34% compared with 24%). All government departments have a recordkeeping policy / procedures, 90% use a Business Classification Scheme, and 86% have a retention and disposal schedule. Documentation methods that differ most across sectors include legislative mapping (71% of government departments compared with 25% of local government authorities and 29% of other public authorities) and business process mapping (71% of departments compared with 31% of local government authorities and 33% of other public authorities).

Similarly, all methods of documentation listed were more popular among larger public authorities than smaller ones. In particular, 93% of large authorities utilise a Business Classification Scheme, compared with 71% of medium authorities and 42% of small authorities. All large authorities indicated some means of documentation, whereas 8% of small authorities and 5% of medium authorities indicated that none of their business activities and recordkeeping requirements are documented.

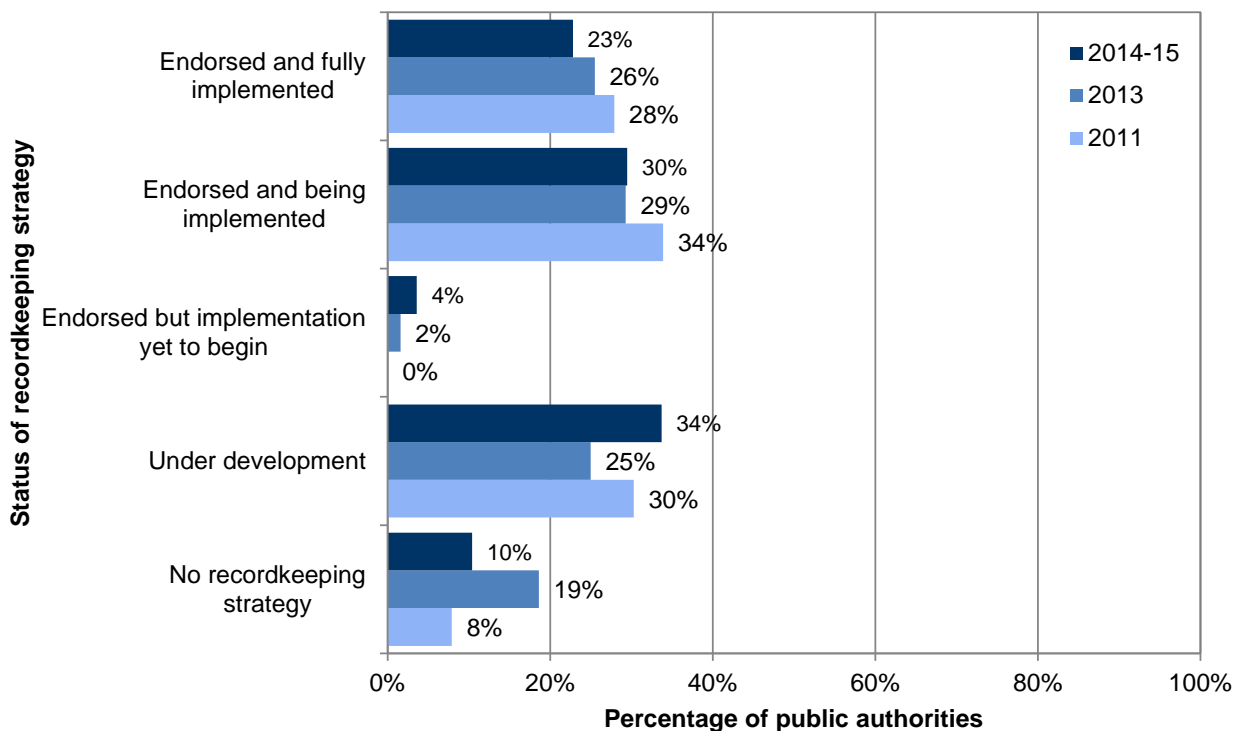
Respondents were asked if their public authority has a recordkeeping strategy endorsed by the Chief Executive. Of all responding public authorities, 56% indicated that they have an endorsed recordkeeping strategy<sup>14</sup>, including:

- 23% of authorities that have fully implemented their endorsed strategy
- 30% that stated they are in the process of implementation
- 4% that have yet to begin implementing that strategy (see Figure 6).

Forty-four per cent of responding authorities either have no recordkeeping strategy, or are in the process of developing one.

Overall, authorities that have endorsed and/or implemented recordkeeping strategies displayed little change since the 2013 survey (see Figure 6). However, a smaller percentage of authorities claimed to have no recordkeeping strategy in 2014-15 (10%) than in 2013 (19%). Also, a larger percentage of authorities have a recordkeeping strategy under development (34%) than in the two previous surveys (25% in 2013 and 30% in 2011).<sup>15</sup>

**Figure 6: Status of public authorities' recordkeeping strategy, Overall, 2011, 2013 and 2014-15**



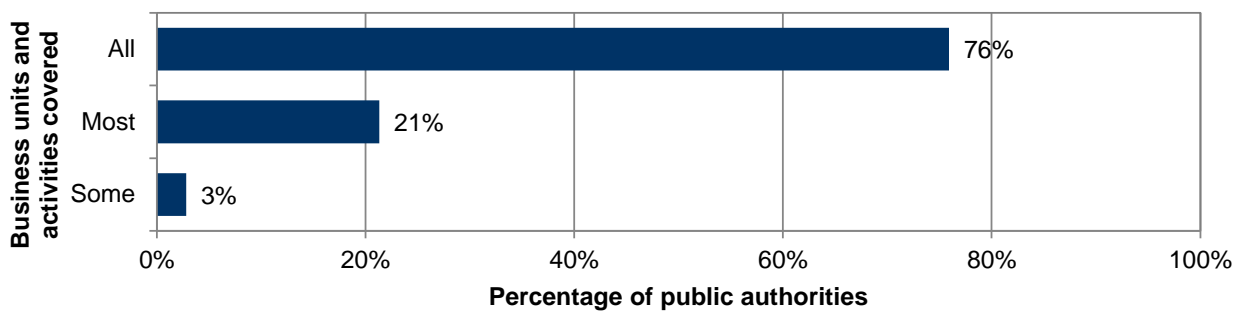
<sup>14</sup> Includes response categories “Recordkeeping strategy endorsed and fully implemented”, “Recordkeeping strategy endorsed and being implemented” and “Recordkeeping strategy endorsed but implementation yet to begin”

<sup>15</sup> Response categories for this question changed between the 2009 and 2011 surveys, therefore comparison with 2009 data is not possible.

Across sectors, 67% of government departments (up from 50% in 2013) have an endorsed recordkeeping strategy, with two departments having fully implemented their strategy. Among local government authorities, 56% have an endorsed strategy (up from 47% in 2013). The percentage of other public authorities with a strategy under development increased from 20% in 2013 to 33% in 2014-15. A smaller percentage of large authorities have an endorsed, fully implemented recordkeeping strategy (12%) than medium (23%) or small (30%) authorities. Almost one half (47%) of large authorities indicated that they are in the process of implementing a strategy.

Respondents whose authorities have an endorsed recordkeeping strategy were asked whether it covers all business units and activities undertaken. Almost all responding authorities (97%) indicated that their strategy covers either all or the majority of business units and activities. Three public authorities (including one government department) said that their strategy covers some, but not most, of their units and activities. A greater percentage of government departments with an endorsed strategy indicated that it covers all business units and activities (86%) than local government authorities (76%) and other public authorities (74%). By contrast, a smaller percentage of large authorities with an endorsed strategy claimed that it covers all units/activities (66%) than medium (78%) or small (82%) authorities. Refer to Figure 7 for overall question results.

**Figure 7: Coverage of endorsed recordkeeping strategy, Overall**



## IS40 Principle 2: Recordkeeping must be monitored and audited for compliance

Recordkeeping systems, procedures and practices must be periodically monitored, evaluated and revised to ensure compliance with cultural, business, legislative and accountability requirements. At a minimum, public authorities must:

- incorporate an assessment of recordkeeping compliance and performance into internal audit and/or business improvement process reviews
- act upon any compliance issues identified by reviews or audit processes to improve records management within the agency.

### *Survey findings*

- A rating of 'compliant' was achieved by 20% of responding authorities for IS40 Principle 2, while a rating of 'opportunity for improvement' was received by a further 21% of authorities (including one government department).
- Compliance has improved since the 2013 survey, in

which 12% of responding authorities were classified as 'compliant'. This was largely due to a decrease in authorities that:

- 'never' conduct assessments, reviews and/or audits of their recordkeeping program (7%, down from 20% in 2013)
- have no arrangements in place to update their CEO of recordkeeping issues (11%, down from 18% in 2013).
- Of responding authorities, 45% indicated that they conduct regular<sup>16</sup> assessments, reviews and/or audits of their recordkeeping program, including 52% of government departments, 46% of local government authorities and 43% of other public authorities.
- A larger percentage of government departments have regular<sup>17</sup> reporting arrangements in place to update their CEO of recordkeeping issues and/or progress than other sectors. Overall, 41% of public authorities have regular reporting arrangements in place, including 57% of government departments, 42% of local government authorities and 37% of other public authorities.

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<sup>16</sup> Includes response categories "Half yearly or more regularly", "Annually", "Biennially" and "Other-Compliant"

<sup>17</sup> Include response categories "Quarterly or more frequently", "Half yearly", "Annually" and "Other-Compliant"

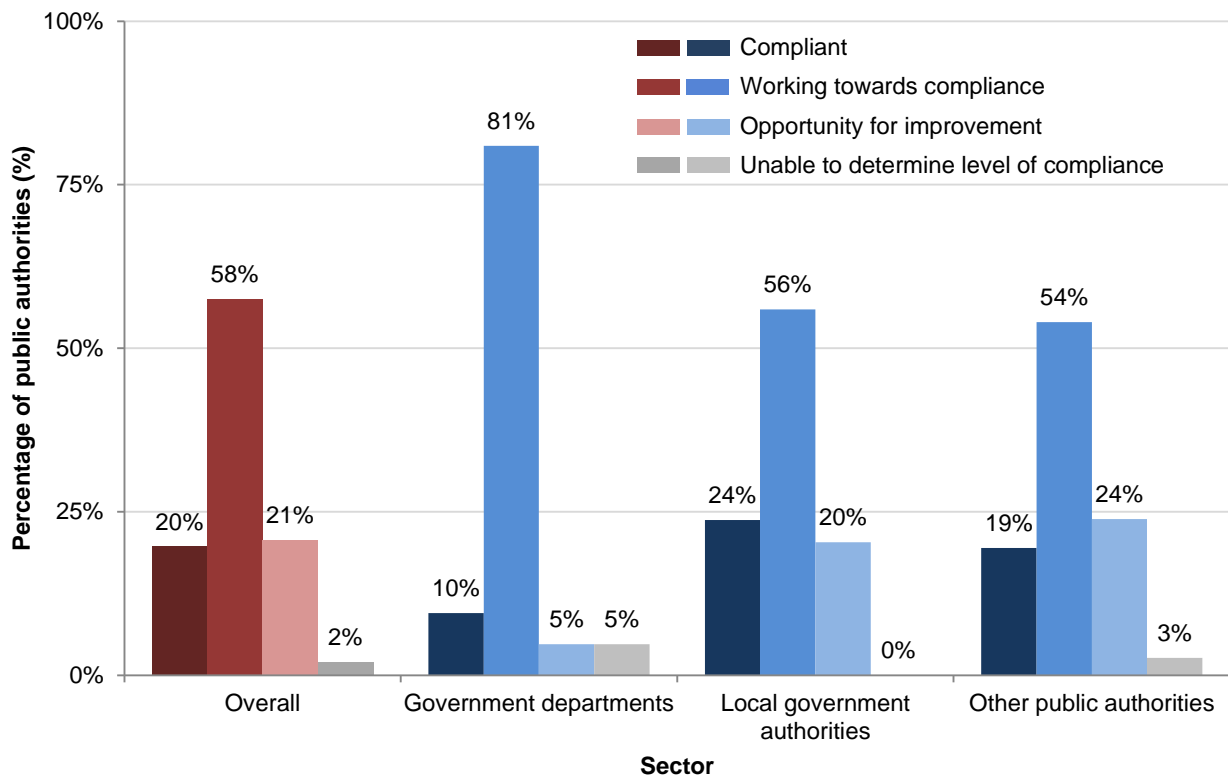
## Compliance

Compliance with IS40 Principle 2 was determined by responses to questions regarding public authorities':

- auditing practices
- implementation of audit recommendations
- arrangements for updating CEOs of recordkeeping issues and/or progress.

Twenty per cent of public authorities were classified as 'compliant' with this principle, including 10% of government departments. This was an improvement from 2013, in which 12% of all authorities were classified as 'compliant'. Refer to Figure 8 for compliance results.

**Figure 8: IS40 Principle 2 compliance ratings, by Sector and Overall**



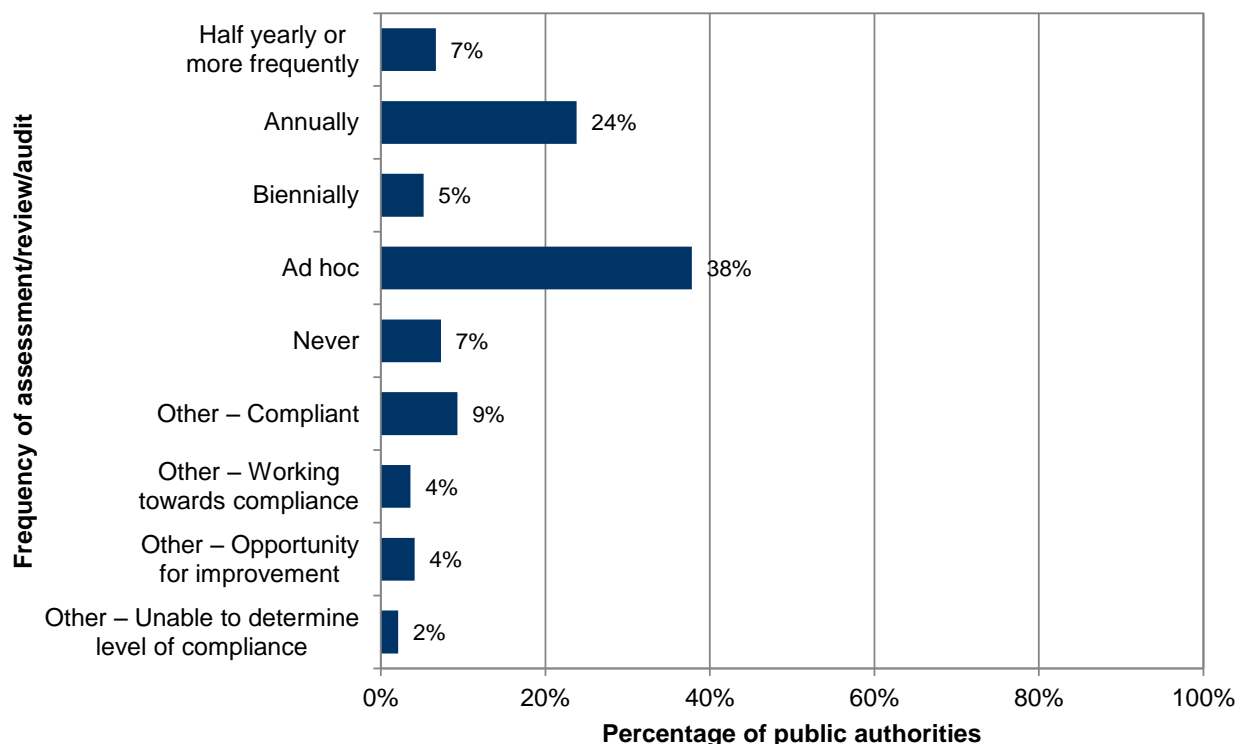
## Analysis

Respondents were asked how often their public authority conducts an assessment, review and/or audit of its recordkeeping program (that is, practices, procedures and systems). Of all responding authorities, 45% indicated that they regularly<sup>18</sup> conduct assessments, reviews and/or audits.

<sup>18</sup> Includes response categories "Half yearly or more regularly", "Annually", "Biennially" and "Other-Compliant"

Another 41% of authorities indicated that they conduct assessments, reviews and/or audits on an ad hoc basis<sup>19</sup>, while 11% said they never do so. Refer to Figure 9 for full question results.

**Figure 9: Frequency of recordkeeping assessments, reviews and/or audits, Overall**



Across sectors, 11 of 21 government departments (52%) conduct regular assessments, reviews and/or audits, compared with 46% of local government authorities and 43% of other public authorities. Across size groups, a greater percentage of small authorities conduct regular assessments, reviews and/or audits (56%) than medium (41%) or large authorities (37%).

Excluding public authorities that have never conducted an assessment, review or audit of their recordkeeping program, respondents were asked to what extent their public authority has implemented any recommendations to improve recordkeeping. Of these authorities, 56% indicated they have implemented all or some recommendations, while 22% were planning implementation, and 3% were not planning any implementation at the time of the survey. A further 18% indicated that no recommendations were made.

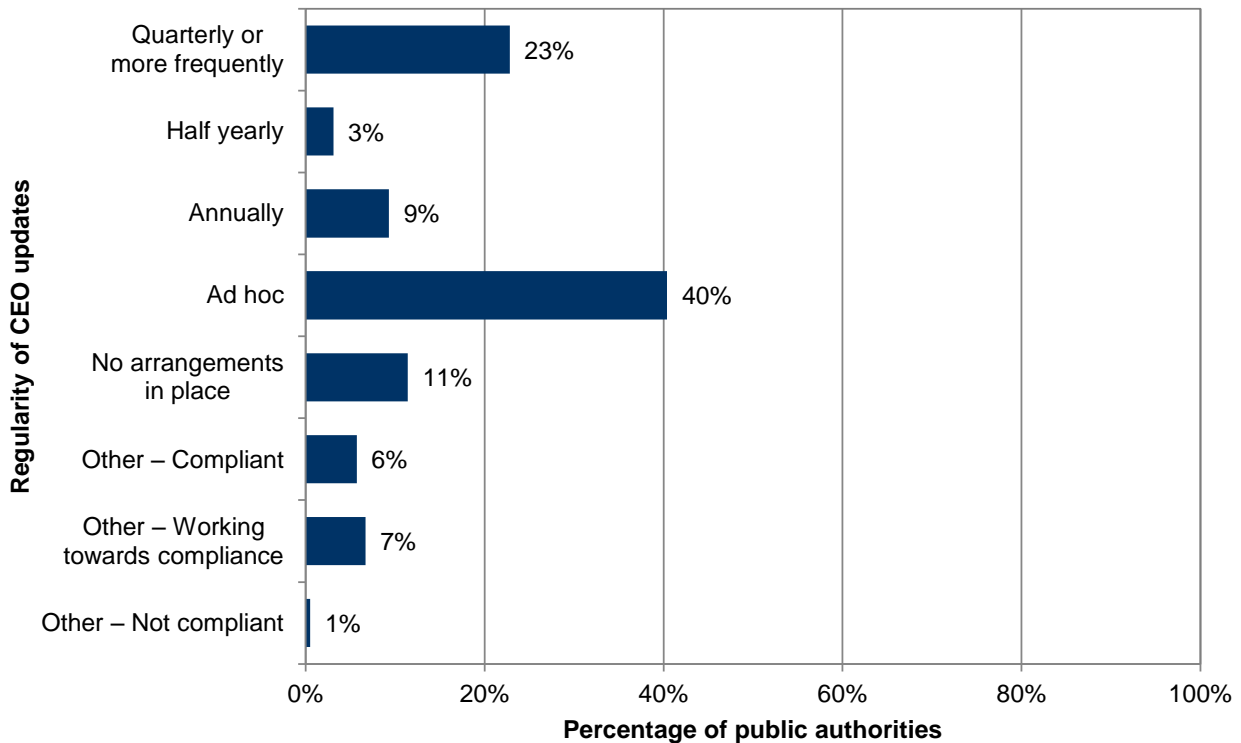
Among government departments, 52% have implemented all or some recommendations from the last recordkeeping assessment/review/audit, and a further 38% were planning implementation at the time of the survey. Five per cent of departments indicated that no recommendations were made, compared with 13% of local government authorities and 23% of other public authorities.

<sup>19</sup> Includes response categories “Ad hoc” and” and “Other–Working towards compliance”



All respondents were asked if their public authority has regular reporting arrangements in place to update the CEO of recordkeeping issues and/or progress. Forty-one per cent of all public authorities indicated that they have regular<sup>20</sup> reporting arrangements in place, 47% indicated that ad hoc reporting<sup>21</sup> occurs, and 12% indicated that no reporting arrangements are in place<sup>22</sup>. Refer to Figure 10 for all response percentages.

**Figure 10: Regularity of arrangements to update CEO of recordkeeping issues and/or progress, Overall**



A larger percentage of government departments have regular reporting arrangements<sup>23</sup> in place (57%) than local government authorities (42%) and other public authorities (37%). All government departments indicated that some reporting arrangements are in place<sup>24</sup>, whereas 10% of local government authorities and 15% of other public authorities have none.

<sup>20</sup> Includes response categories “Quarterly or more frequently”, “Half yearly”, “Annually” and “Other–Compliant”

<sup>21</sup> Includes response categories “Ad hoc” and “Other–Working towards compliance”

<sup>22</sup> Includes response categories “No reporting arrangements in place” and “Other–Opportunity for improvement”

<sup>23</sup> Includes response categories “Quarterly or more frequently”, “Half yearly”, “Annually” and “Other–Compliant”

<sup>24</sup> Includes all response categories except “No reporting arrangements in place” and “Other–Opportunity for improvement”

## IS40 Principle 3: Recordkeeping activity must be assigned and implemented

Recordkeeping activities are essential business functions that must be assigned and implemented through responsible management by individuals and systems. Making and keeping public records is a responsibility of all those involved in the conduct of Government business, including contract staff. At a minimum, public authorities must:

- formally assign responsibility for recordkeeping activities to those conducting Government business
- communicate roles and responsibilities for records management across the organisation.

### *Survey findings*

- The majority (91%) of all public authorities were classified as 'compliant' with IS40 Principle 3, including all government departments. This was due to the large percentage of public authorities that formally assign recordkeeping

activities to staff<sup>25</sup> (93%), and/or that have a means of communicating recordkeeping roles and responsibilities across the organisation<sup>26</sup> (97%).

- The percentage of public authorities with no formal assignment of recordkeeping responsibilities to staff decreased from 9% in 2013 to 6% in 2014-15.
- Similarly, the percentage of public authorities with no method of communicating records management roles and responsibilities across the organisation decreased from 9% in 2013 to 3% in 2014-15.

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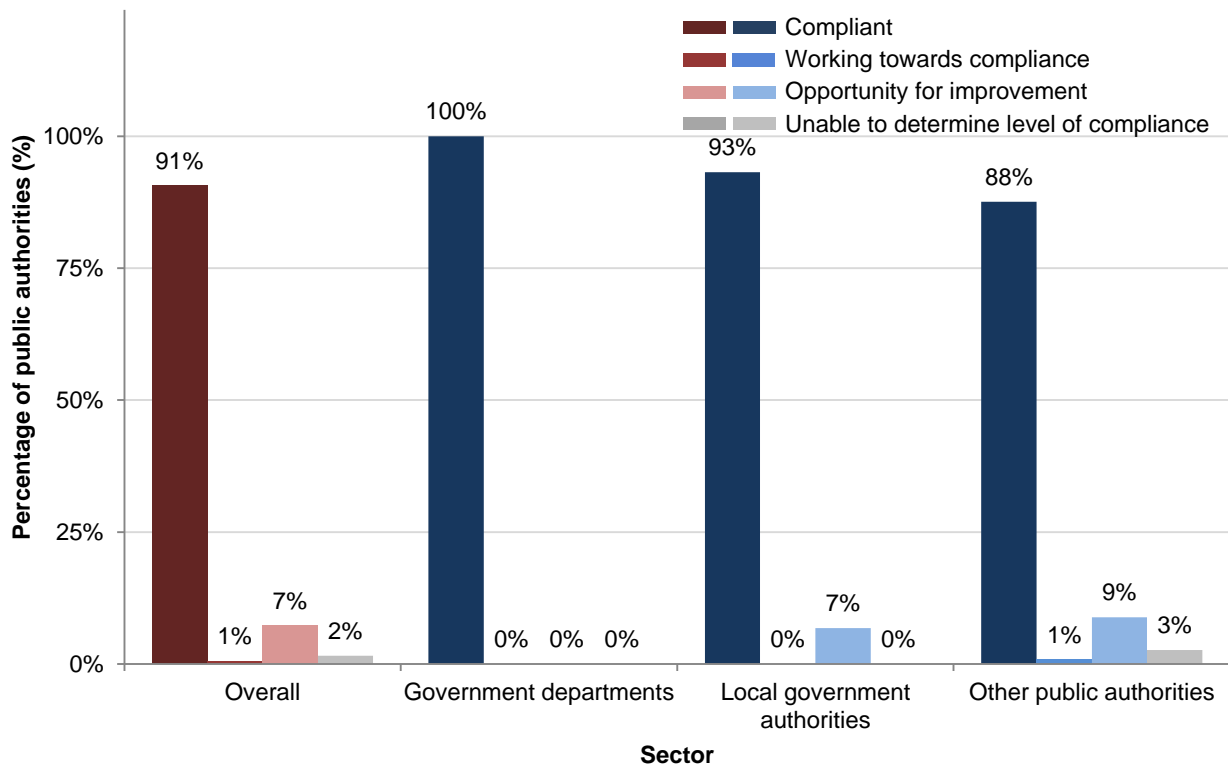
<sup>25</sup> Includes all response categories except "No responsibilities for recordkeeping activities formally assigned" and "Other—Opportunity for improvement"

<sup>26</sup> Includes all response categories except "No recordkeeping roles and responsibilities communicated" and "Other—Opportunity for improvement"

## Compliance

Compliance with IS40 Principle 3 was determined by the responses to two questions which addressed public authorities' assignment of recordkeeping activities to staff, and the communication of records management roles across the organisation. The majority of responding authorities (91%) indicated satisfactory means of both assigning recordkeeping activities to staff, and communicating records management roles and responsibilities across the organisation. Refer to Figure 11 for full compliance results.

**Figure 11: IS40 Principle 3 compliance ratings, by Sector and Overall**



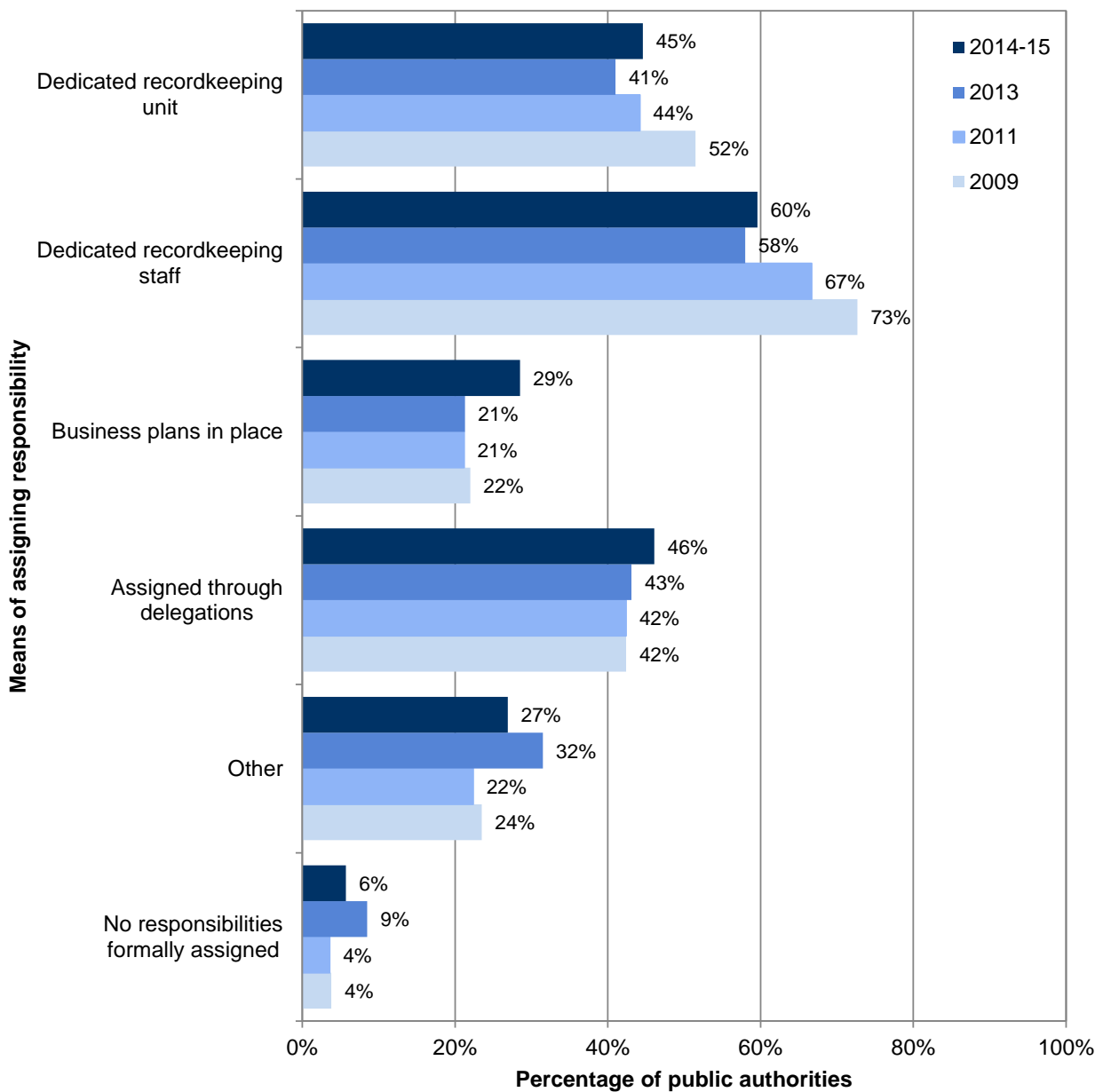
## Analysis

Respondents were asked how responsibilities for recordkeeping activities are formally assigned to staff in their public authority. Multiple responses were allowed. Sixty per cent of public authorities indicated that they have dedicated recordkeeping staff, while 46% assign responsibilities through delegations, and 45% have a dedicated recordkeeping unit. Six per cent of authorities indicated that no responsibilities for recordkeeping activities are formally assigned.

The means of assigning recordkeeping responsibilities remained roughly unchanged from the 2013 survey (see Figure 12). The percentage of authorities assigning responsibilities via business plans increased slightly, from 21% in 2013 to 29% in 2014-15, and the percentage of authorities with no responsibilities formally assigned decreased slightly from 9% to 6%.

Across sectors, larger percentages of government departments assigned responsibilities using most of the methods listed than other sectors. In particular, 90% of government departments assigned responsibilities via a dedicated recordkeeping unit, compared with 53% of local government authorities and 32% of other public authorities. Responsibilities are assigned through delegations by 81% of government departments, compared with 39% of local government authorities and 43% of other public authorities. Similarly, higher percentages of large authorities assign responsibilities using the methods listed than small ones: 88% of large authorities use a dedicated recordkeeping unit, compared with 8% of small authorities.

**Figure 12: How responsibilities for recordkeeping activities are formally assigned to staff, Overall, 2009, 2011, 2013 and 2014-15**

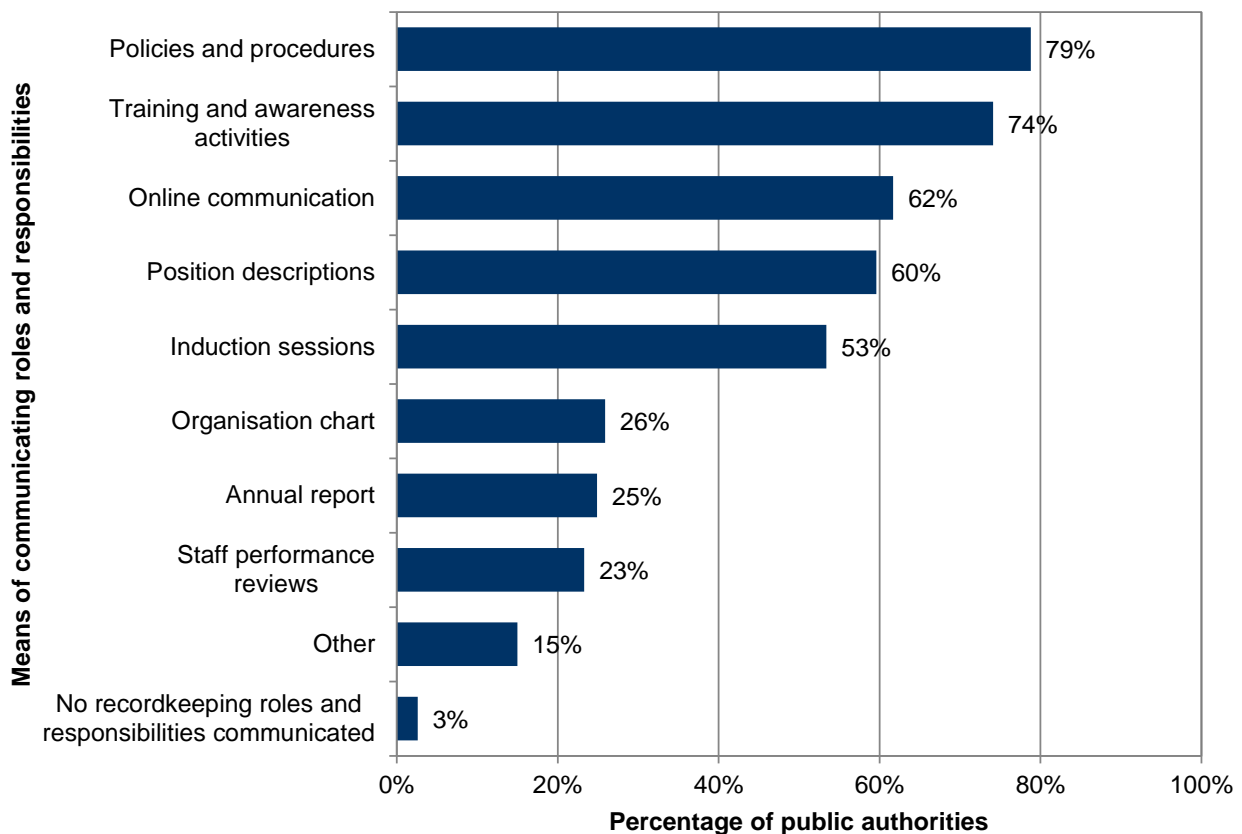


The second question under this principle asked respondents how their public authority communicates roles and responsibilities for records management across the organisation, including regional offices and business units. The most common methods are:

- policies and procedures (79%)
- training and awareness activities (74%)
- online communication (62%).

Three per cent of authorities indicated that recordkeeping roles and responsibilities are not communicated. Refer to Figure 13 for overall question results.

**Figure 13: Communication of roles and responsibilities for records management across the organisation, Overall**



Across sectors, all government departments communicate roles and responsibilities via training and awareness activities, compared with 80% of local government authorities and 66% of other public authorities. Policies and procedures (90%) and online communication (86%) are also common methods of communication among government departments. The main means of communicating roles and responsibilities among local government authorities are policies and procedures, and training and awareness activities (80% each). Almost all large authorities (98%) use training and awareness activities to communicate recordkeeping roles and responsibilities, compared with 56% of small authorities.

## IS40 Principle 4: Recordkeeping must be managed

Recordkeeping must be managed through an identifiable recordkeeping program that includes records in all formats; and be administered by appropriately skilled staff. At a minimum, public authorities must:

- assign responsibility for recordkeeping to an appropriately skilled manager or senior administrative officer
- implement an identifiable records management program with documented policies, procedures and business rules.

### *Survey findings*

- For IS40 Principle 4, 60% of responding public authorities were classified as ‘working towards compliance’, with a further 26% classified as ‘compliant’.
- Responsibility for records management is assigned to an appropriately skilled

manager or senior administrative officer<sup>27</sup> by 88% of responding public authorities. In 8% of public authorities, records management responsibility is not assigned to an appropriately skilled staff member.

- Twenty-nine per cent of responding authorities have fully implemented a records management program for the whole public authority. Forty-five per cent of respondents indicated their authority is in the process of implementing a records management program<sup>28</sup>, while 18% are developing a program, and 6% have no program in place or in development<sup>29</sup>.

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<sup>27</sup> Includes response categories “Assigned to appropriately skilled manager”, “Assigned to a senior administrative officer” and “Other–Compliant”

<sup>28</sup> Includes response categories “Being implemented for the whole public authority”, “Fully implemented in some areas and being implemented in other areas” and “Being implemented in some areas only”

<sup>29</sup> Includes response categories “No records management program in place” and “Other–Opportunity for improvement”

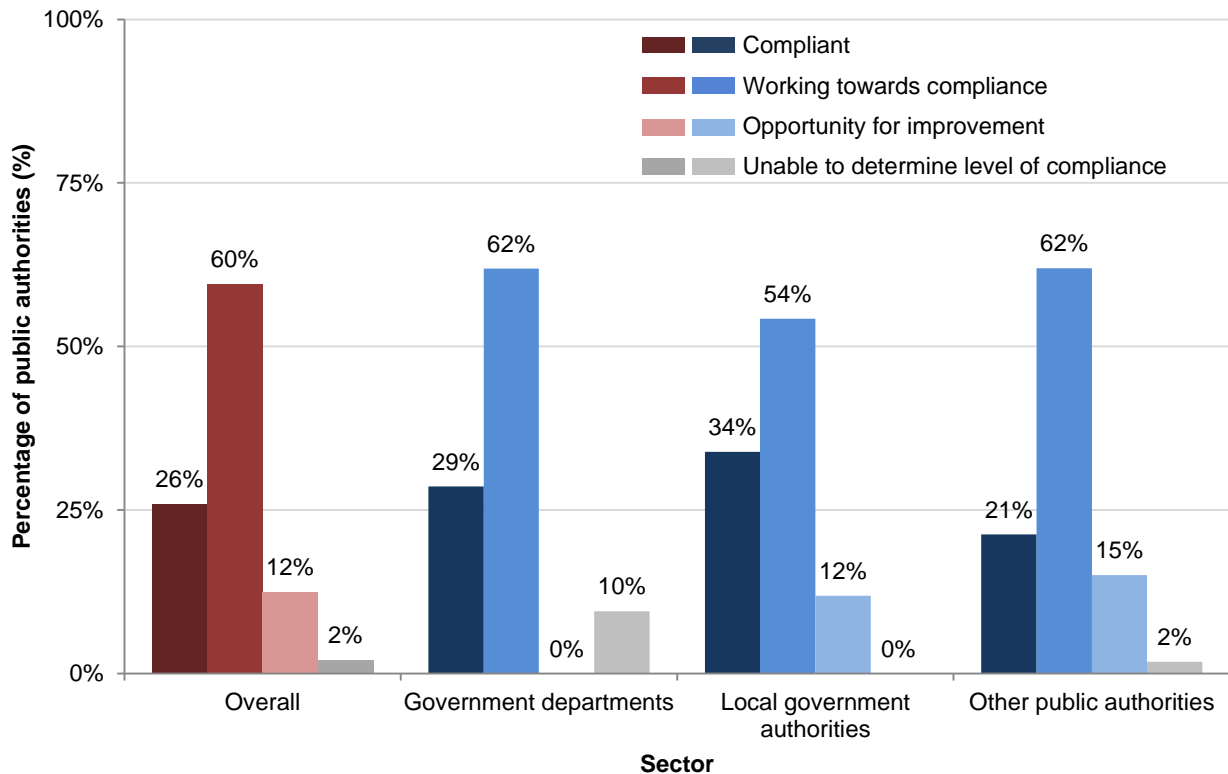
## Compliance

Compliance with IS40 Principle 4 was determined by public authorities' responses to questions addressing:

- the assignment of responsibility for records management to an appropriate skilled officer
- the extent to which a records management program is in place for the whole authority.

A compliance rating of 'working towards compliance' in this principle was achieved by 60% of responding authorities, due largely to the percentage of public authorities that have made some progress towards developing/implementing a records management program but had not yet completed both stages (65%)<sup>30</sup> at the time of the survey. Refer to Figure 14 for full compliance results.

**Figure 14: IS40 Principle 4 compliance ratings, by Sector and Overall**

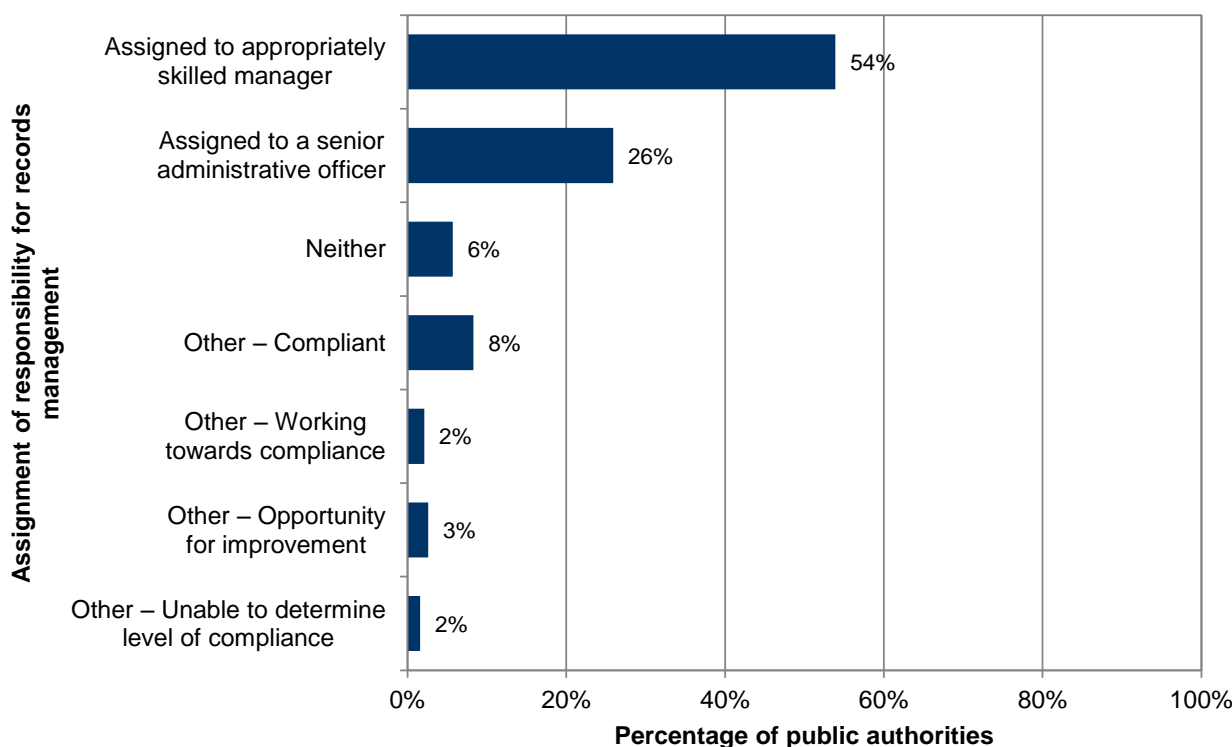


<sup>30</sup> Includes response categories "Being implemented for the whole public authority", "Fully implemented in some areas only", "Fully implemented in some areas and being implemented in other areas", "Being implemented in some areas only", "Records management program under development" and "Other-Working towards compliance"

### Analysis

Respondents were asked whether responsibility for records management is assigned to an appropriately skilled manager or senior administrative officer. Eighty-eight per cent of public authorities assign records management to an appropriately skilled staff member<sup>31</sup>, while 8% do not<sup>32</sup>. Refer to Figure 15 for all response proportions.

**Figure 15: Assignment of responsibility for records management, Overall**



All government departments either:

- assign responsibilities to an appropriately skilled staff member (19 departments), or
- provided a text response where the level of compliance could not be determined (2 departments).

By contrast, 10% of local government authorities and 9% of other public authorities indicated they do not assign responsibilities adequately. Across size groups, a higher percentage of large authorities assign responsibilities to an appropriately skilled staff member (95%) than medium (90%) and small (81%) authorities. More specifically, a larger percentage of large authorities assign responsibilities to an appropriately skilled manager (70%) than medium (60%) and small (34%) authorities.

<sup>31</sup> Includes response categories “Assigned to appropriately skilled manager”, “Assigned to a senior administrative officer” and “Other–Compliant”

<sup>32</sup> Includes response categories “Not assigned to appropriately skilled manager or senior administrative officer” and “Other–Opportunity for improvement”

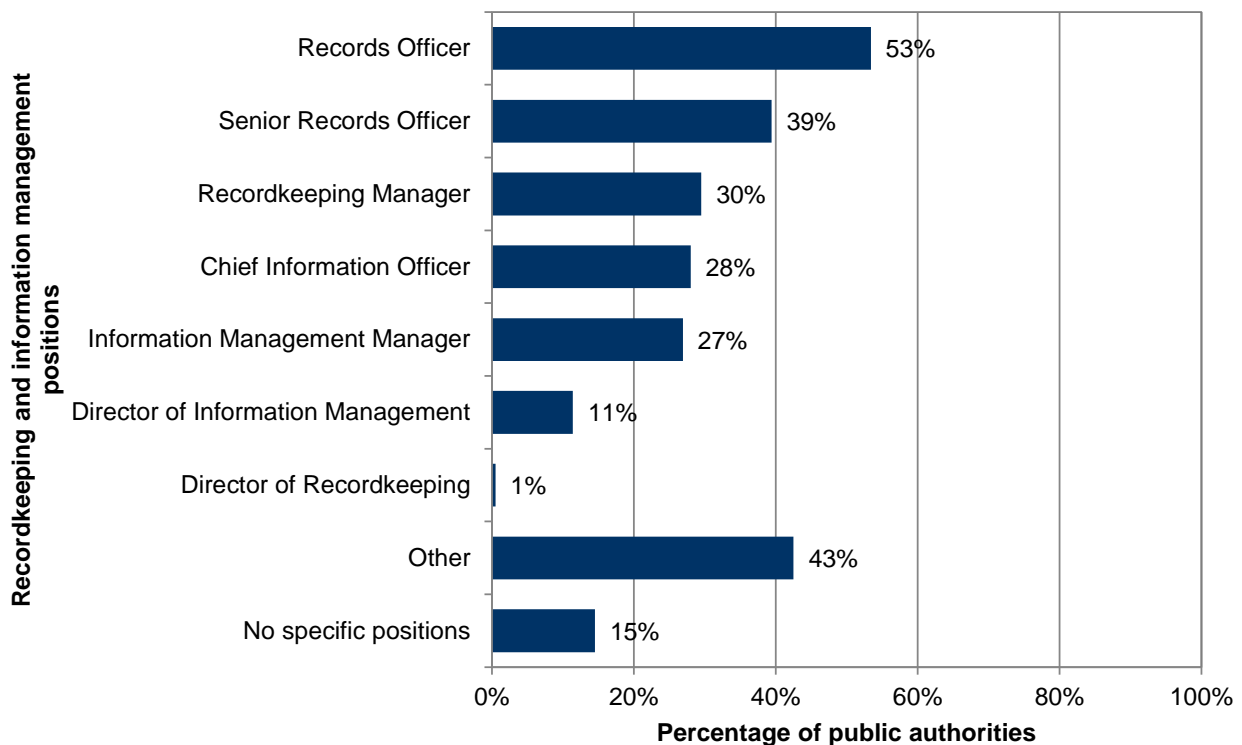


Respondents were then asked which recordkeeping and information management positions their public authority has. Multiple selections were allowed. Response proportions are illustrated in Figure 16. Of the positions listed, the three most common are:

- Records Officer (53%)
- Senior Records Officer (39%)
- Recordkeeping Manager (30%).

A large number of authorities (43%) entered one or more alternative position titles using an open text field, but no common themes were identified. Some examples include 'Assistant registrar', 'Secretary', 'Information Management Officer' and 'Client Service Manager'.

**Figure 16: Recordkeeping and information management positions, Overall**



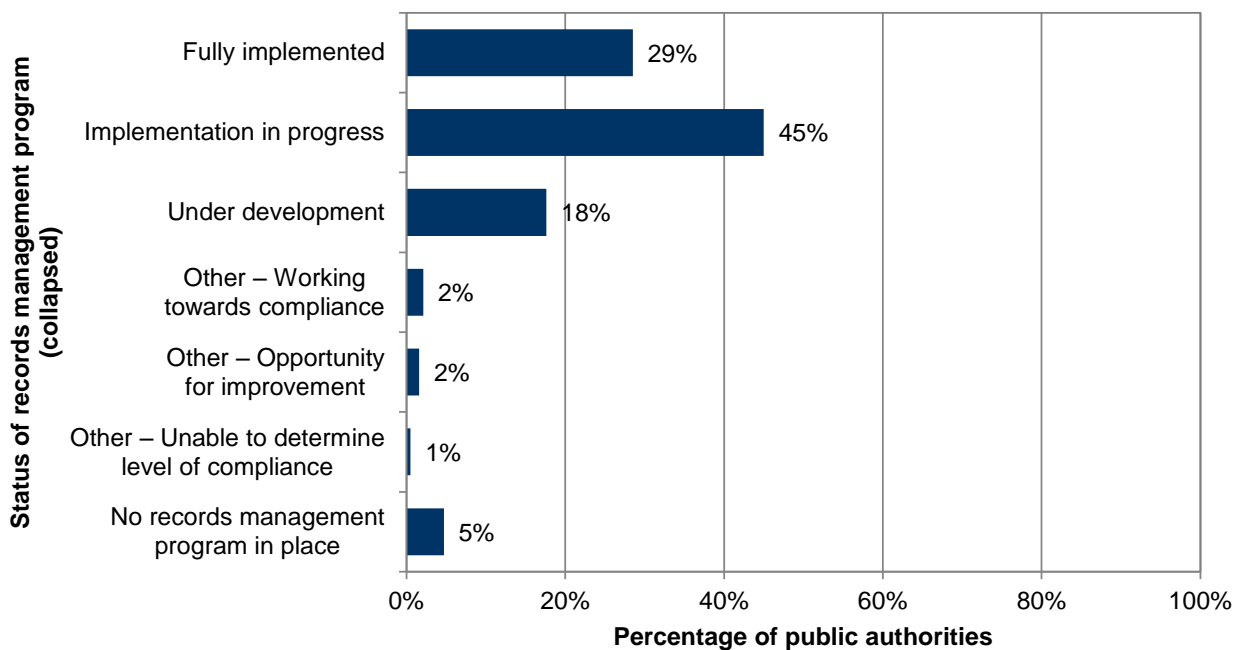
Recordkeeping and information management positions vary across sectors. Twenty-one per cent of other public authorities have no specific positions related to recordkeeping or information management, compared with 5% of local government authorities. One government department indicated that they have no specific recordkeeping positions.

All of the positions listed as options are more common among government departments than local government authorities and other public authorities. The most common recordkeeping positions among government departments are Chief Information Officer and Records Officer (86% of departments each), and the most popular position among both local government authorities and other public authorities is Records Officer (73% of local government authorities and 37% of other public authorities).

Larger authorities generally reported utilising more recordkeeping positions than smaller authorities, and all positions were listed more often by authorities with greater staff numbers than those with fewer staff. Seventy per cent of large authorities employ a Senior Records Officer, and 60% employ a Chief Information Officer; by comparison, 11% of small authorities employ a Senior Records Officer and 5% employ a Chief Information Officer. Records Officer was chosen most often across all size groups, with 81% of large authorities, 62% of medium authorities and 23% of small authorities having such a position.

The final question under this principle asked respondents to indicate the extent to which a records management program is in place for the whole of their public authority that clearly documents policies, procedures and business rules for managing records. At the time of the survey, 29% of responding authorities had fully implemented a records management program for their whole public authority. A records management program was being implemented<sup>33</sup> by 45% of public authorities, 18% were developing a program, and 6% had no program in place or in development<sup>34</sup>. See Figure 17 for full question results. Note that some categories have been collapsed for reporting purposes.<sup>35</sup>

**Figure 17: Extent to which a records management program clearly documents policies, procedures and business rules for managing records (collapsed), Overall**



<sup>33</sup> Includes response categories “Being implemented for the whole public authority”, “Fully implemented in some areas only”, “Fully implemented in some areas and being implemented in other areas” and “Being implemented in some areas only”

<sup>34</sup> Includes response categories “No records management program in place” and “Other–Opportunity for improvement”

<sup>35</sup> “Implementation in progress” includes response categories “Being implemented for the whole public authority”, “Fully implemented in some areas only”, “Fully implemented in some areas and being implemented in other areas” and “Being implemented in some areas only”

Of 21 government departments, 62% were in the process of implementing a records management program<sup>36</sup> at the time of the survey, including 38% that indicated that a program was being implemented for the whole public authority. Similarly, 59% of local government authorities and 65% of other public authorities were in the process of implementing a program. A fully implemented records management system for the whole public authority is in place in 29% of government departments, 37% of local government authorities and 24% of other public authorities.

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<sup>36</sup> Includes response categories “Being implemented for the whole public authority”, “Fully implemented in some areas only”, “Fully implemented in some areas and being implemented in other areas” and “Being implemented in some areas only”

## IS40 Principle 5: Recordkeeping systems must be reliable and secure

All systems that are used to create and maintain records must work reliably and be secure to ensure that records are credible and authoritative regardless of format. At a minimum, public authorities must:

- implement recordkeeping systems which are secure from unauthorised access, damage and misuse.

### *Survey findings*

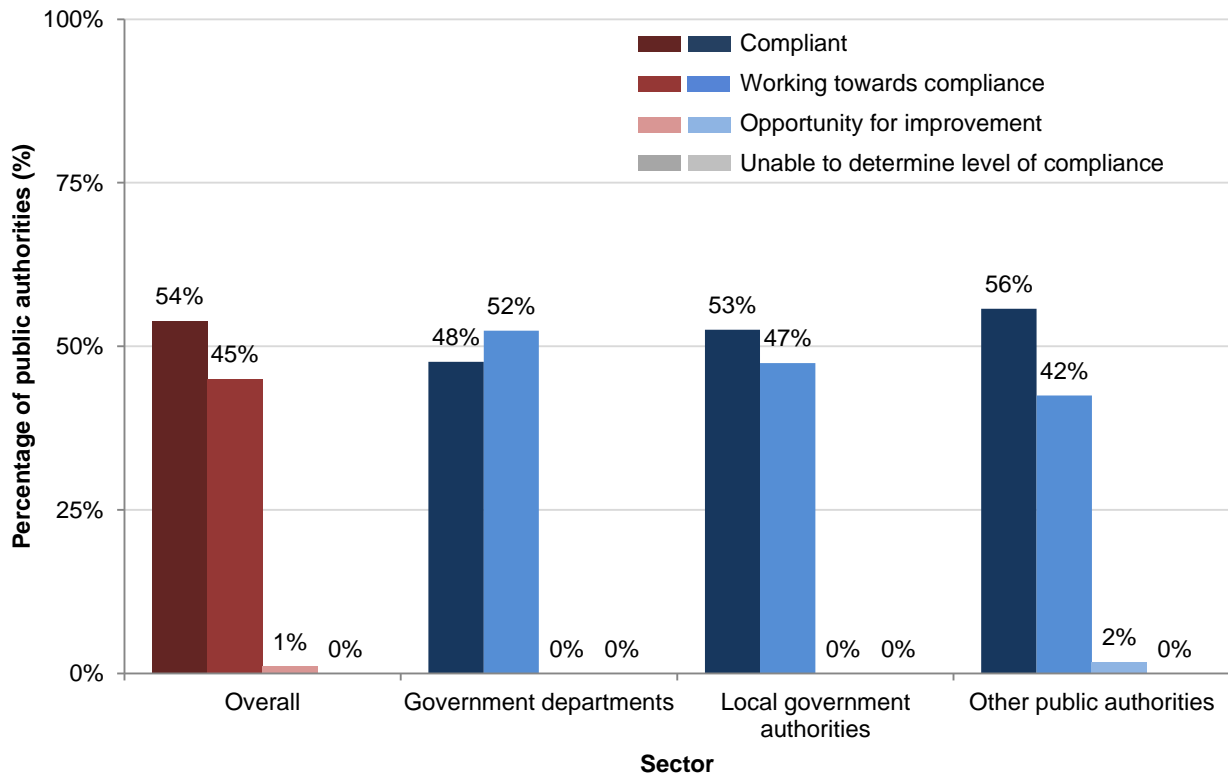
- Just over one half (54%) of responding public authorities were classified as 'compliant' with IS40 Principle 5.

The percentage of public authorities that utilise predominantly digital recordkeeping systems increased from 18% in 2013 to 31% in 2014-15. The percentage utilising a combination of paper and digital systems decreased from 73% to 60%.

- Of public authorities not currently utilising predominantly digital recordkeeping system(s), 66% indicated that they intend to transition to a predominantly digital recordkeeping system within the next 5 years (up from 50% in 2013).

### *Compliance*

Compliance with IS40 Principle 5 was determined by responses to questions addressing the format of public authorities' recordkeeping systems, and their security and reliability. Fifty-four per cent of responding authorities, including 48% of government departments, were rated as 'compliant' for this principle. Forty-five per cent received a rating of 'working towards compliance', while 1% were classified as 'opportunity for improvement'. Refer to Figure 18 for full compliance results.

**Figure 18: IS40 Principle 5 compliance ratings, by Sector and Overall**

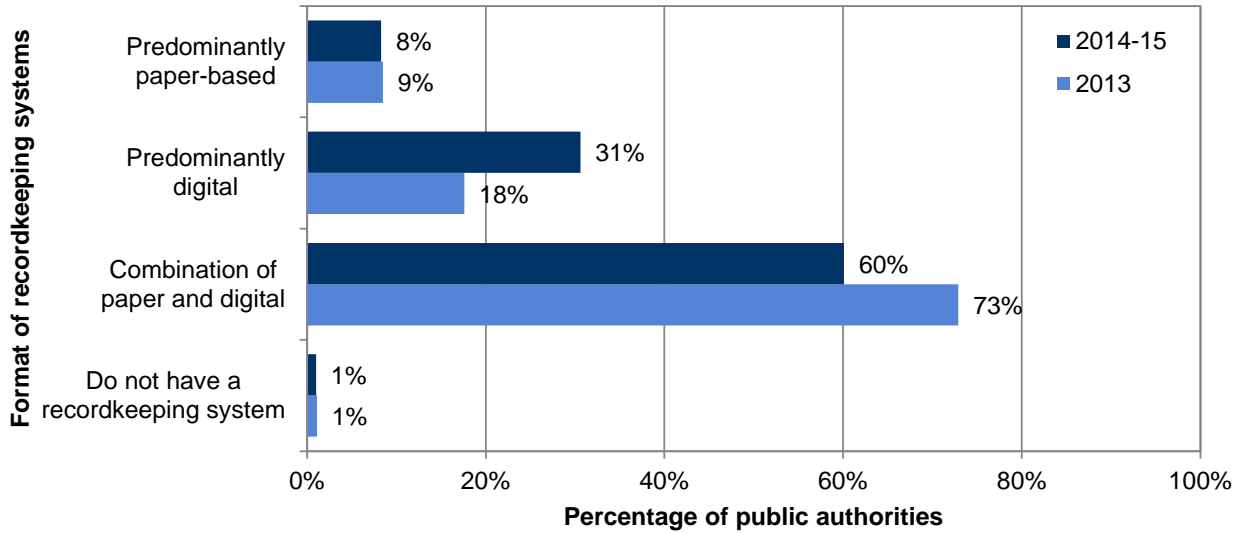
### Analysis

The first question in this section asked respondents about the format of their authority's recordkeeping systems. System formats differed between the 2013 and 2014-15 surveys<sup>37</sup>: the percentage of authorities with a predominantly digital recordkeeping system increased from 18% to 31%, while the percentage with a combination of digital and paper-based systems decreased from 73% to 60%. There was little change in the percentage of authorities with predominantly paper-based systems (9% in 2013, 8% in 2014-15). Refer to Figure 19 for question results for both surveys.

Across sectors, 24% of government departments use predominantly paper recordkeeping systems, compared with 2% of local government authorities and 9% of other public authorities. Predominantly digital systems are used by 47% of local government authorities and 26% of other public authorities, compared with 10% of government departments.

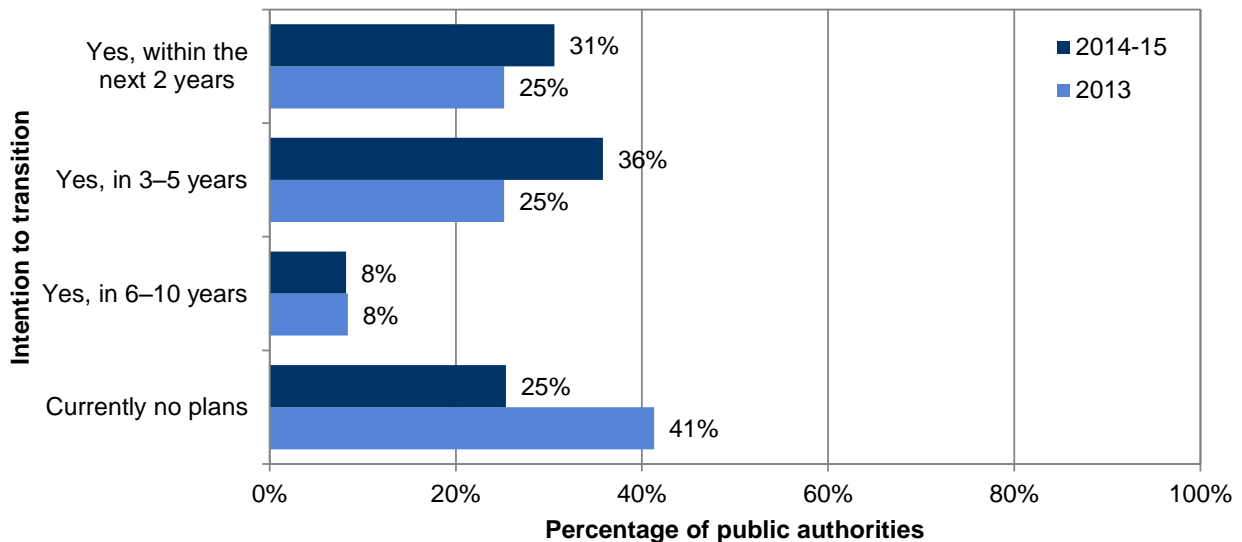
<sup>37</sup> This question was asked for the first time in 2013, therefore comparison with pre-2013 data is not possible

**Figure 19: Whether recordkeeping systems are predominantly digital or paper-based, Overall, 2013 and 2014-15**



Responding authorities that indicated that their recordkeeping systems are not predominantly digital were asked if they intend to transition to predominantly digital systems in the future. More authorities indicated an intention to transition in the near future than in the 2013 survey, with 66% per cent planning to transition within the next five years<sup>38</sup> (up from 50% in 2013) and 25% having no plans to transition (down from 41% in 2013). Refer to Figure 20 for 2013 and 2014-15 results.

**Figure 20: Intention to transition to a predominantly digital recordkeeping system, Overall, 2013 and 2014-15**



<sup>38</sup> Includes response categories “Yes, within the next 2 years” and “Yes, in 3-5 years”

Of the 19 government departments (53%) that do not employ a predominantly digital system, 10 plan to transition to one within the next two years, and a further seven plan to transition in 3–5 years. Thirty-five per cent of local government authorities and 24% of other public authorities stated their intention to transition within the next two years. A greater percentage of large authorities intend to transition in the near future than smaller authorities: 88% of large authorities plan to transition within 5 years, compared with 70% of medium authorities and 47% of small authorities.

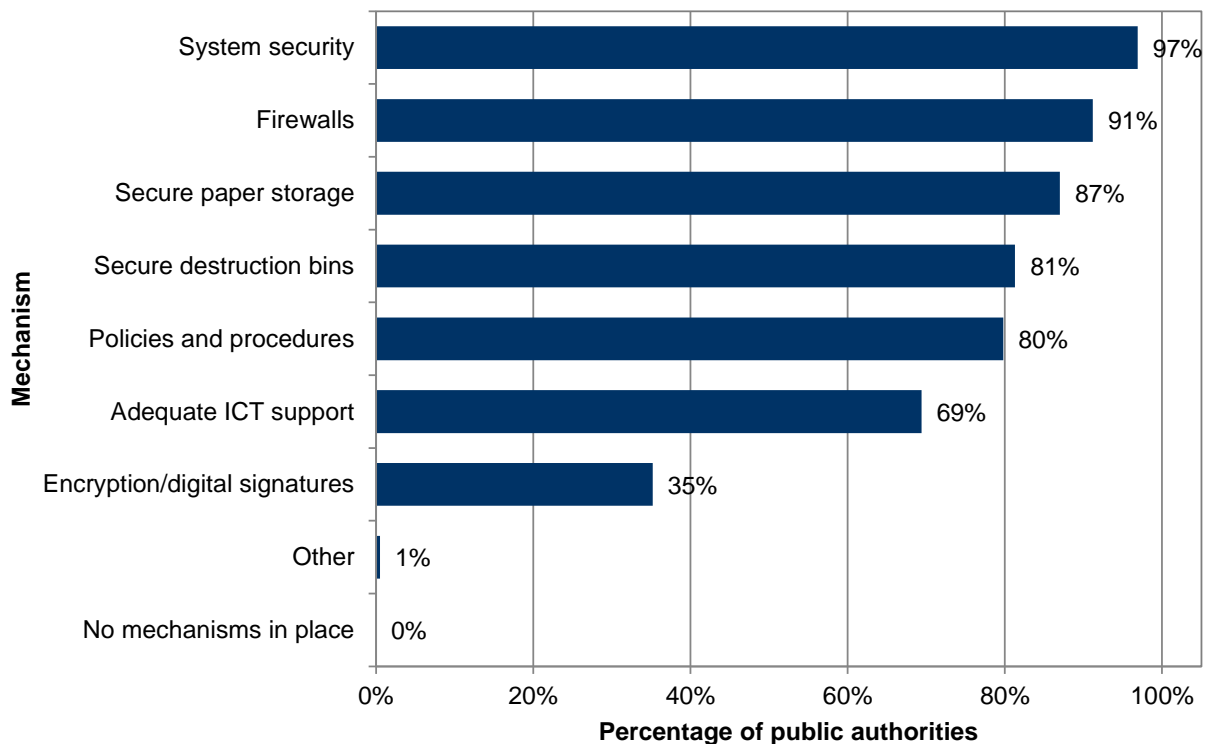
Respondents were asked if their public authority has systems in place to secure records from unauthorised access, misuse and damage. Seventy per cent of authorities claimed that all of their digital records are secure, and 47% indicated that all paper records are secure.

The final question in this section asked respondents to list the mechanisms used by their public authority to ensure the reliability and security of recordkeeping systems. Of the options provided, the three most common were:

- system security (e.g. passwords, permission levels) (97%)
- firewalls (91%)
- secure paper storage (87%).

Refer to Figure 21 for full question results. Most of the mechanisms listed were more popular among government departments than authorities in other sectors. In particular, all departments indicated that they used firewalls, system security and secure destruction bins. In addition, higher percentages of large authorities used all of the mechanisms listed than smaller authorities, with all large authorities using system security and secure destruction bins, and all but one using firewalls.

**Figure 21: Mechanisms to ensure the reliability and security of recordkeeping systems, Overall**



## IS40 Principle 6: Recordkeeping must be systematic and comprehensive

The creation, storage and maintenance of records must be implemented systematically and comprehensively. All systems (both manual and electronic), that create and maintain records must be supported by accurately documented recordkeeping policies and assigned responsibilities. At a minimum, public authorities must:

- implement processes to ensure records are created, stored and maintained systematically
- ensure records document the complete range of business undertaken by a public authority.

### *Survey findings*

- Over one half of public authorities (57%) were classified as 'compliant' with IS40 Principle 6. Fewer government departments received a rating of 'compliant' (48%) than local government authorities (66%) and other public authorities (54%).
- Sixty-four per cent of responding authorities indicated that they have processes in place to ensure both paper and digital records are created, stored and maintained systematically, including 52% of government departments.
- Seventy-two per cent of respondents indicated that their public authority creates, stores and maintains records to document the complete range of business activities that it undertakes; the remaining 28% indicated that only some business activities are documented.

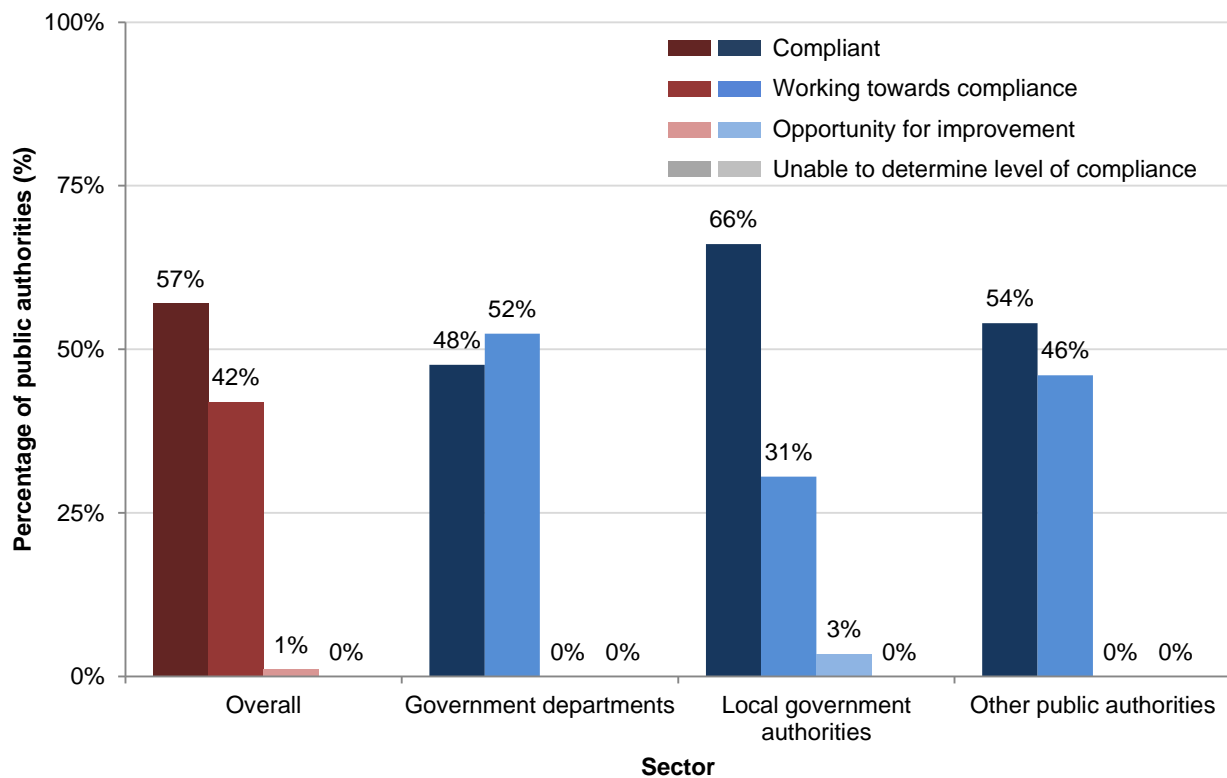
### *Compliance*

Compliance with IS40 Principle 6 was determined by public authorities' responses to questions concerning:

- processes used to create, store and maintain records
- documentation of business activities.

Over one half of responding authorities (57%) were classified as 'compliant' with this principle. Refer to Figure 22 for results.



**Figure 22: IS40 Principle 6 compliance ratings, by Sector and Overall**

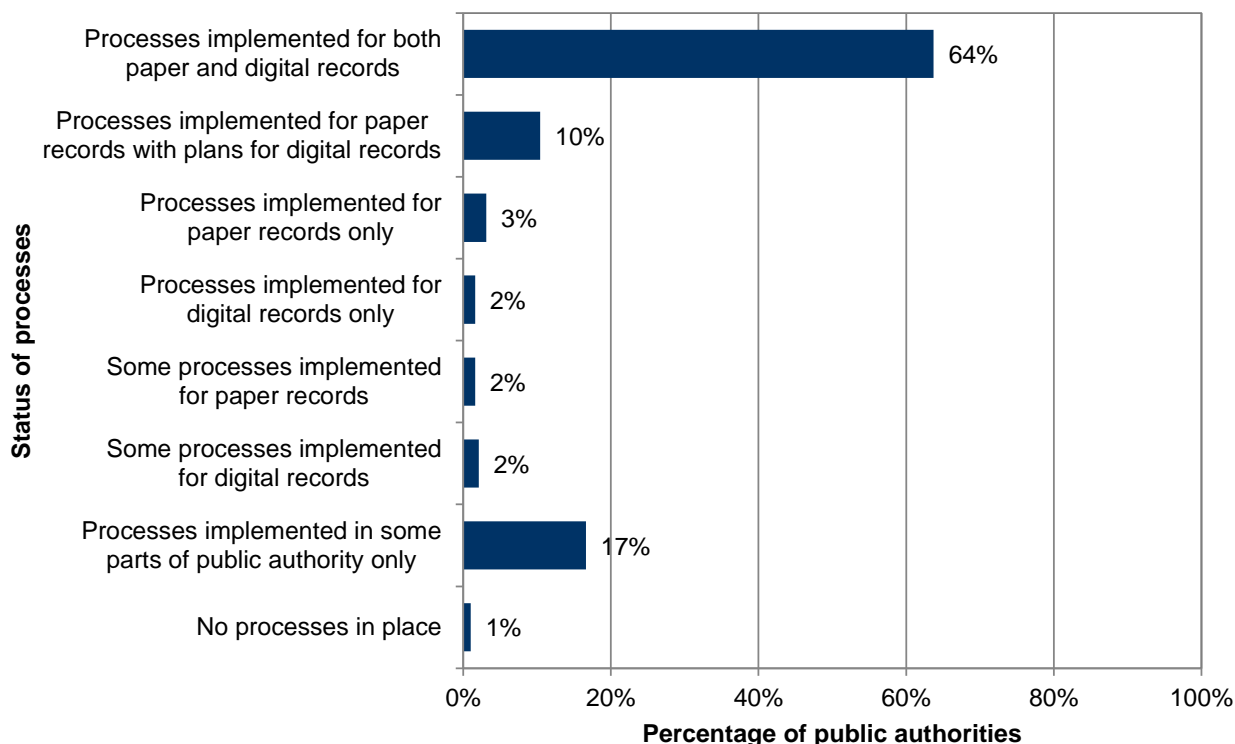
### Analysis

Respondents were asked if their public authority has processes in place to ensure records are created, stored and maintained systematically. Of all responding authorities:

- 64% indicated that such processes have been implemented for both paper and digital records
- 19% indicated that some processes are in place for some combination of paper and digital records<sup>39</sup>
- 17% indicated that processes are in place but only for some parts of their public authority
- one per cent of respondents indicated that no such processes are in place. Refer to Figure 23 for full results.

<sup>39</sup> Includes response categories "Processes implemented for paper records with plans for digital records", "Processes implemented for paper records only", "Processes implemented for digital records only", "Some processes implemented for paper records" and "Some processes implemented for digital records"

**Figure 23: Extent to which processes are in place to ensure records are created, stored and maintained systematically, Overall**

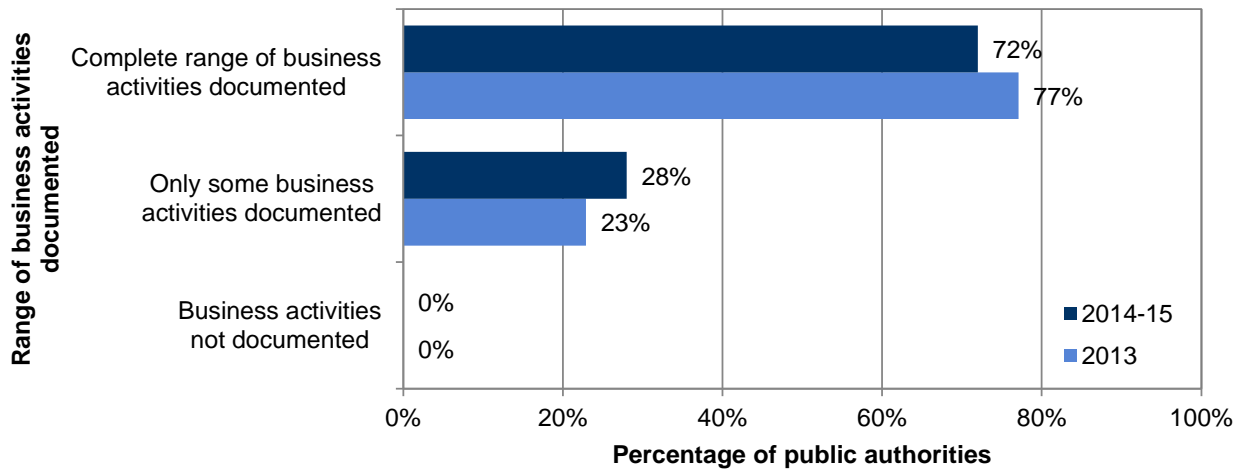


Among government departments, 52% indicated that processes are in place to ensure both paper and digital records are created, stored and maintained systematically, compared with 75% of local government authorities and 60% other public authorities. A smaller percentage of large authorities (56%) indicated that processes are in place for both paper and digital records than medium (65%) or small authorities (67%). In addition, more large authorities indicated that such processes were implemented in some parts of their authority only (35% of large authorities, compared with 10% of medium authorities and 13% of small authorities).

Respondents were also asked if their public authority creates, stores and maintains records that document the complete range of business activities that it undertakes. Records that document the complete range of business undertaken are created, stored and maintained by 72% of public authorities (down from 77% in 2013). The remaining 28% indicated that records are only created, stored and maintained for some of the business undertaken (see Figure 24). As in 2013, no respondents indicated that no such records were kept.<sup>40</sup>

<sup>40</sup> Due to the removal of a response category between the 2011 and 2013 questionnaires (“Yes–Other”), year-on-year comparisons with pre-2013 data are not possible.

**Figure 24: Creation, storage and maintenance of records documenting complete range of business activities undertaken, Overall, 2013 and 2014-15**



Records that document the complete range of business activities are created, stored and maintained by 62% of government departments (down from 83% in 2013). In contrast, 78% of local government authorities (up from 74% in 2013) and 71% of other public authorities (down from 77% in 2013) keep such documentation. A greater percentage of small authorities document the complete range of business activities (80%) than medium (72%) and large authorities (60%).

## IS40 Principle 7: Full and accurate records must be made and kept for as long as they are required for business, legislative, accountability and cultural purposes

Full and accurate records are a combination of processes (such as the creation and capture of records) and essential attributes of records (such as being meaningful, inviolate and complete) which combine to provide necessary accountability. They must be made and kept for as long as they are required for business, legislative, accountability and cultural purposes. Full and accurate records are:

- created
- captured
- retained
- preserved
- adequate
- complete
- meaningful
- accurate
- authentic
- inviolate
- accessible
- useable.

Special consideration needs to be given to electronic and technology-dependent records to ensure they are managed as full and accurate records. This will support their evidential integrity, accessibility and useability for as long as they are required to be retained. Any amendment or augmentation of electronic records must be made without disturbing the evidential integrity of the record. Disposal of records is covered in *Information Standard 31: Retention and Disposal of Public Records*. At a minimum, public authorities must:

- classify records in accordance with a Business Classification Scheme based on an analysis of the public authority's functions and activities
- manage the retention and disposal of records in accordance with *Information Standard 31: Retention and Disposal of Public Records*
- capture minimum recordkeeping metadata for all records in accordance with the *Queensland Recordkeeping Metadata Standard (QRKMS)*.

### Survey findings

- The most common compliance rating for IS40 Principle 7 was 'Working towards compliance' (46%), with 62% of government departments indicating that they were working towards compliance at the time of the survey.
- A Business Classification Scheme has been developed and fully implemented by 38% of responding authorities. Thirty-six per cent have developed a scheme but had not completed implementation<sup>41</sup> at the time of the survey, 10% were in the process of developing a scheme, and 16% had not developed or implemented a scheme.
- Minimum mandatory metadata is captured by 51% of responding authorities, in accordance with the QRKMS<sup>42</sup>. Some metadata<sup>43</sup> is captured by 36% of authorities, while 12% do not capture any

<sup>41</sup> Includes response categories "Fully developed and partly implemented", "Developed and implemented but requires updating" and "Developed but not implemented"

<sup>42</sup> Includes response categories "QRKMS minimum mandatory and some optional metadata elements are captured", "QRKMS minimum mandatory metadata elements are captured" and "Other-Compliant"

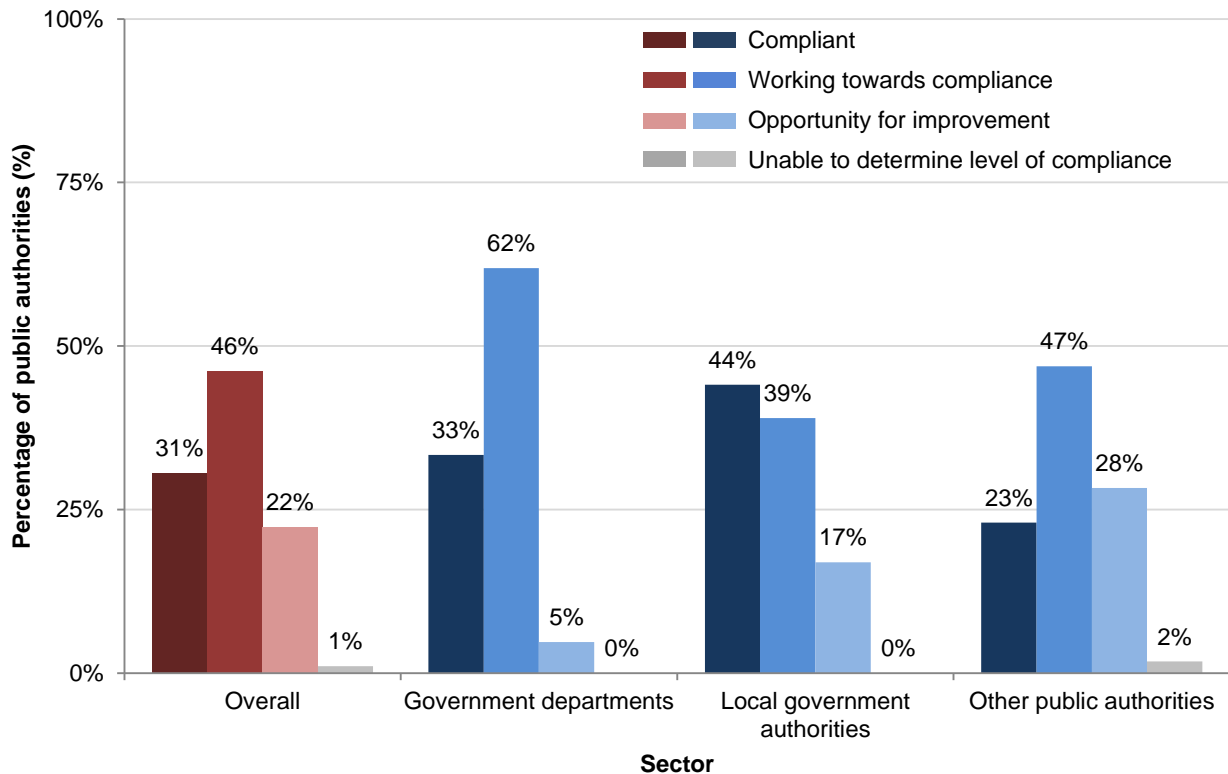
<sup>43</sup> Includes response categories "Some metadata is captured" and "Other-Working towards compliance"

metadata<sup>44</sup>.

### Compliance

Responding authorities' compliance with IS40 Principle 7 was determined by responses to questions regarding the development and implementation of a Business Classification Scheme, and the capture of minimum mandatory metadata. A rating of 'compliant' was achieved by 31% of responding authorities for this principle. Refer to Figure 25 for full compliance results.

**Figure 25: IS40 Principle 7 compliance ratings, by Sector and Overall**

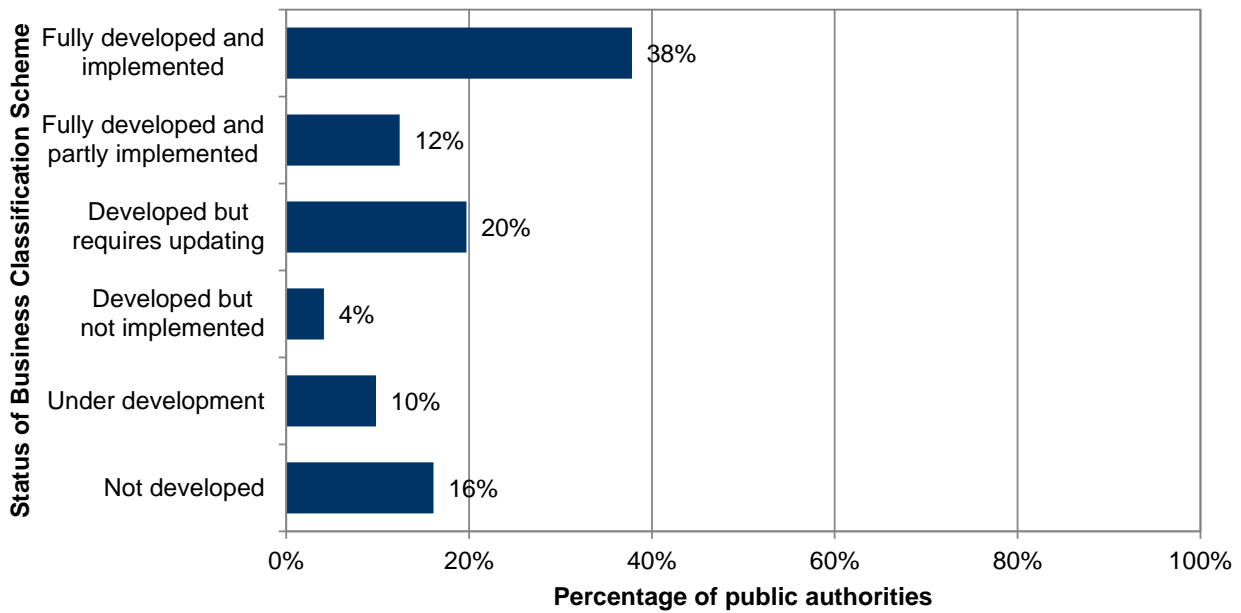


### Analysis

Under this principle respondents were asked if their public authority has developed and implemented a Business Classification Scheme based on an analysis of its functions and activities. Of responding authorities, 38% have fully developed and implemented a scheme; 36% had developed a scheme but had not completed implementation at the time of the survey, 10% were in the process of developing a scheme, and 16% had not developed or implemented a scheme. Refer to Figure 26 for all response percentages.

<sup>44</sup> Includes response categories "No metadata is captured" and "Other—Opportunity for improvement"

**Figure 26: Status of Business Classification Scheme, Overall**



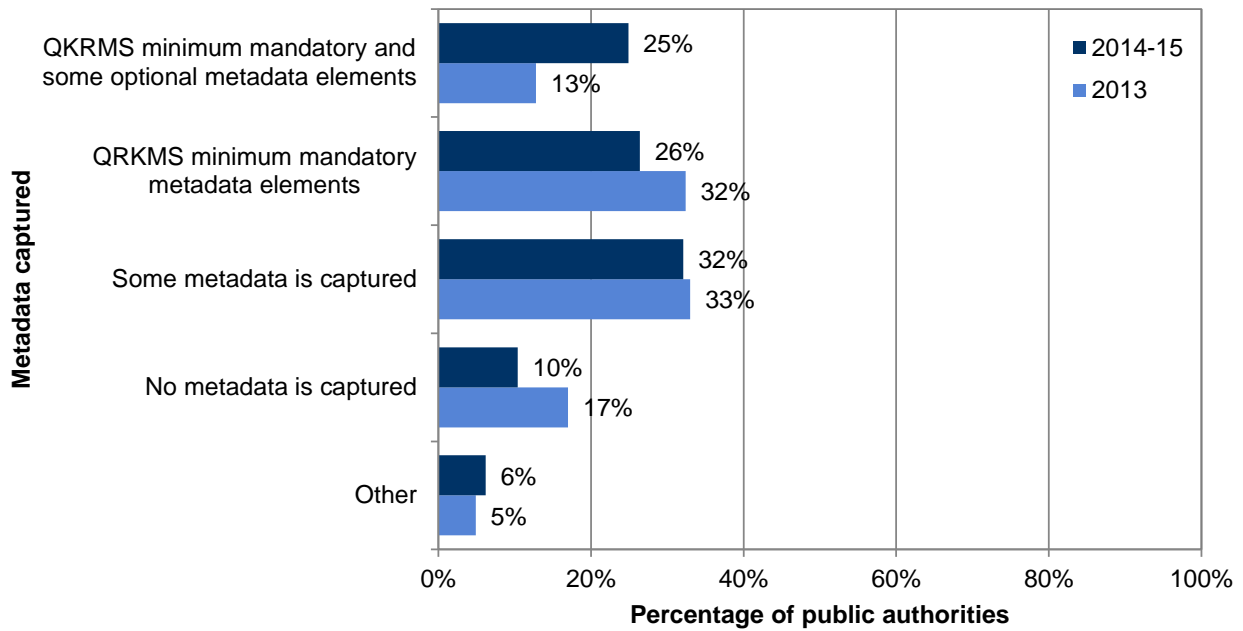
A Business Classification Scheme has been fully developed and implemented by 51% of local government authorities, compared with 33% of government departments and 32% of other public authorities. One government department indicated that they have not developed a scheme. Across size groups, 30% of large authorities have a scheme that requires updating, compared with 16% of medium and 17% of small authorities. More than one quarter of small authorities (27%) have not developed a scheme.

Respondents were asked if their public authority captures minimum mandatory metadata for all records in accordance with the QRKMS. QRKMS minimum mandatory metadata are captured<sup>45</sup> by 51% of responding authorities, with 25% of authorities indicating that some optional metadata elements are also captured. This was an increase from 2013, in which 45% of authorities captured minimum metadata, and 13% captured any optional metadata. In 2014-15, 32% of authorities indicated that some metadata is captured, and 10% do not capture any metadata (down from 17% in 2013).<sup>46</sup> Refer to Figure 27 for question results from both surveys.

<sup>45</sup> Includes response categories “QRKMS minimum mandatory and some optional metadata elements are captured”, “QRKMS minimum mandatory metadata elements are captured” and “Other-Compliant”

<sup>46</sup> Prior to 2013, “other” responses were not classified according to compliance, therefore comparison with pre-2013 data is not possible for this question

**Figure 27: Capture of minimum mandatory metadata for all records in accordance with the Queensland Recordkeeping Metadata Standard (QRKMS), Overall**



Metadata requirements were met by 71% of government departments and 69% of local government authorities, compared with 38% of other public authorities. Minimum mandatory metadata is captured by 39% of small authorities, compared with 59% of medium authorities and 54% of large authorities.

## Results–Information Standard 31: Retention and Disposal of Public Records (IS31)

The following section of the report outlines survey results against the two principles of IS31.

### IS31 Principle 1: Public authorities must ensure public records are retained for as long as they are required

The Chief Executive of each public authority is accountable for the creation, management, appraisal and retention of its public records to ensure the accountability, legal, administrative, financial and research needs of the Government and the community are met. In consultation with QSA, public authorities are responsible for assessing the value of the records they hold and setting appropriate retention periods for those records. Decisions on retention periods are documented in a retention and disposal schedule. At a minimum, public authorities must:

- develop, and submit for the State Archivist's approval, a retention and disposal schedule covering the core-business records of the agency
- retain the agency's public records according to the relevant classes under an approved retention and disposal schedule.

#### Survey findings

- While 44% of all responding public authorities were compliant with IS31 Principle 1, 24% of government departments were compliant, compared with 61% of local government authorities and 38% of other public authorities.
- Overall, 69% of responding public authorities have an approved retention and disposal schedule, an increase from 63% in 2013. Within this group, 44% cent

have a fully implemented schedule, and 25% have an approved schedule that either had not yet been fully implemented or was due for review<sup>47</sup> at the time of the survey. A further 12% were in the process of developing a schedule.

- Thirteen per cent of responding authorities have no schedule, down from 19% in 2013.
- The development of a new or revised retention and disposal schedule within the next two years is planned by 40% of public authorities, including 17 of 21 government departments.

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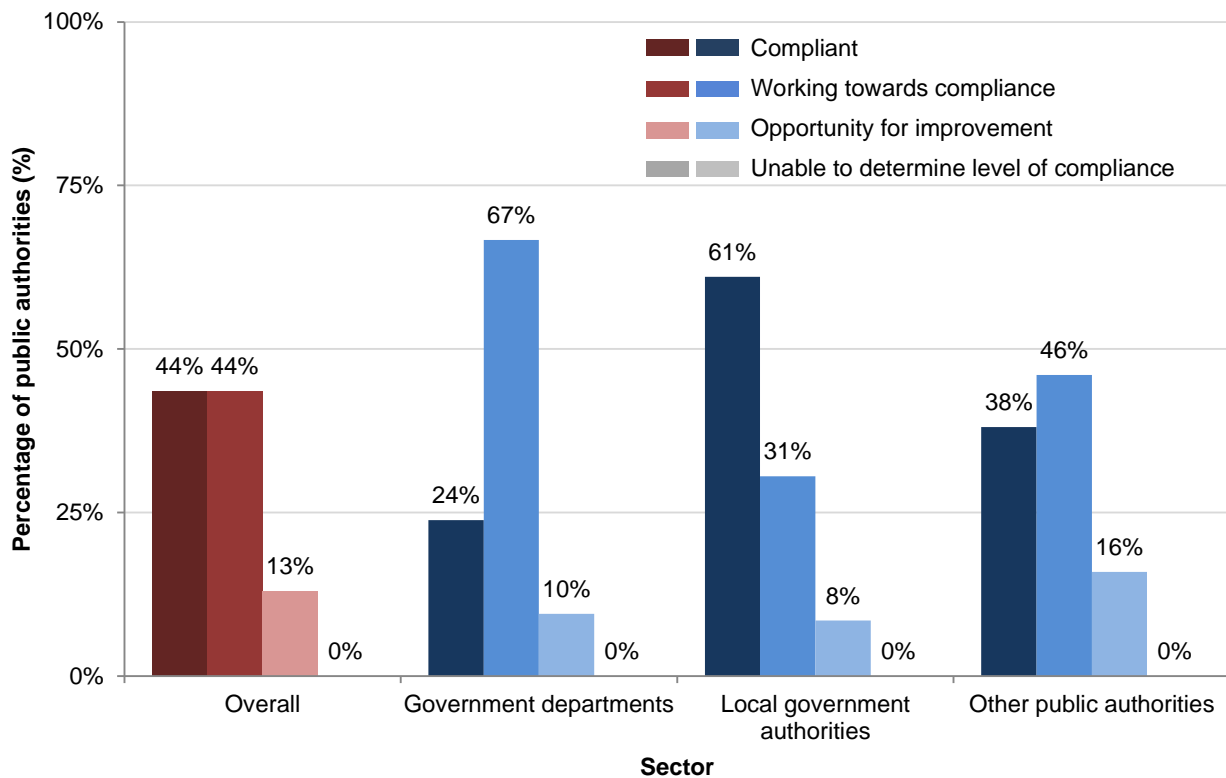
<sup>47</sup> Includes response categories "Approved and partially implemented", "Approved but not yet implemented", "Approved and implemented but under review" and "Approved and implemented but requires review"



## Compliance

Questions in this section related to the retention and disposal of public records, and whether authorities utilise a retention and disposal schedule. Compliance with this principle was determined exclusively by responses to a question regarding the status of public authorities' core retention and disposal schedule(s). A rating of 'compliant' was achieved by 44% of responding public authorities for this principle; however, 24% of government departments were rated as 'compliant', compared with 61% of local government authorities and 38% of other public authorities. Refer to Figure 28 for full compliance results.

**Figure 28: IS31 Principle 1 compliance ratings, by Sector and Overall**

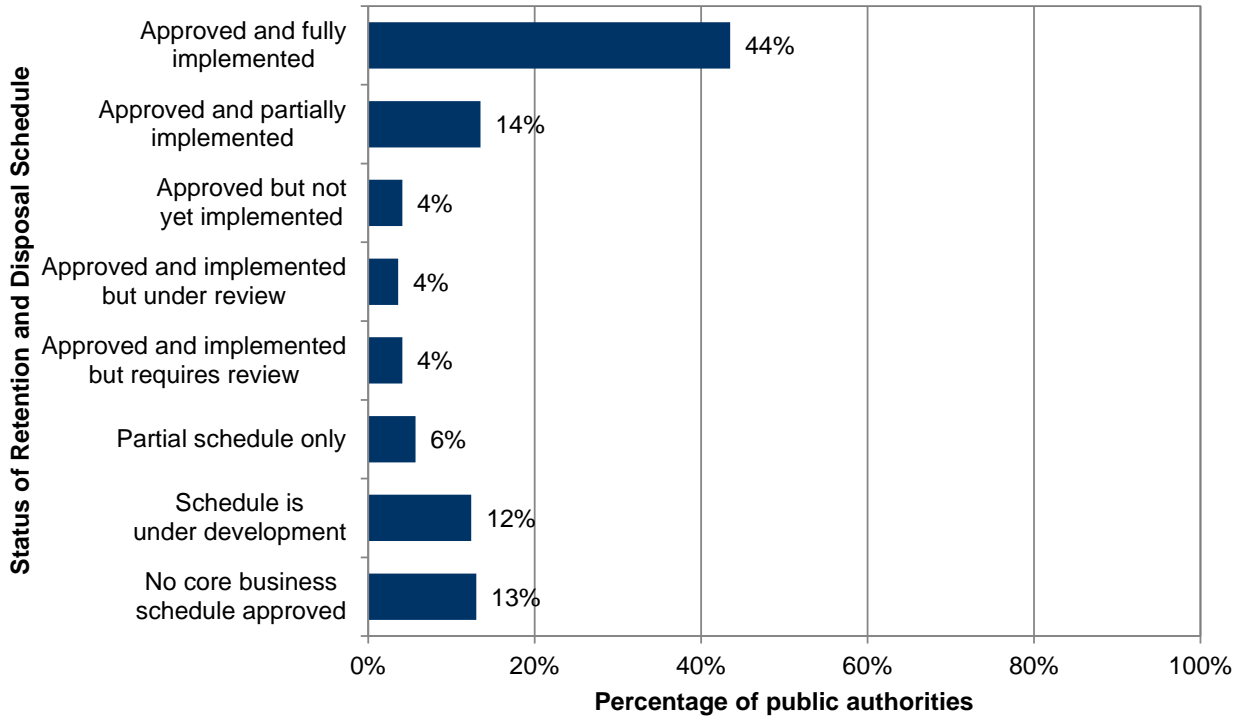


## Analysis

Respondents were asked if their public authority has a retention and disposal schedule, approved by the State Archivist, covering all of its core business records. Forty-four per cent of respondents indicated that their authority has an approved, fully implemented schedule, and 25% indicated that they have an approved schedule that either had not yet been fully implemented or was due for review<sup>48</sup> at the time of the survey. Refer to Figure 29 for all response percentages.

<sup>48</sup> Includes response categories "Approved and partially implemented", "Approved but not yet implemented", "Approved and implemented but under review" and "Approved and implemented but requires review"

**Figure 29: Retention and Disposal Schedule covering all core business records approved by the State Archivist, Overall**

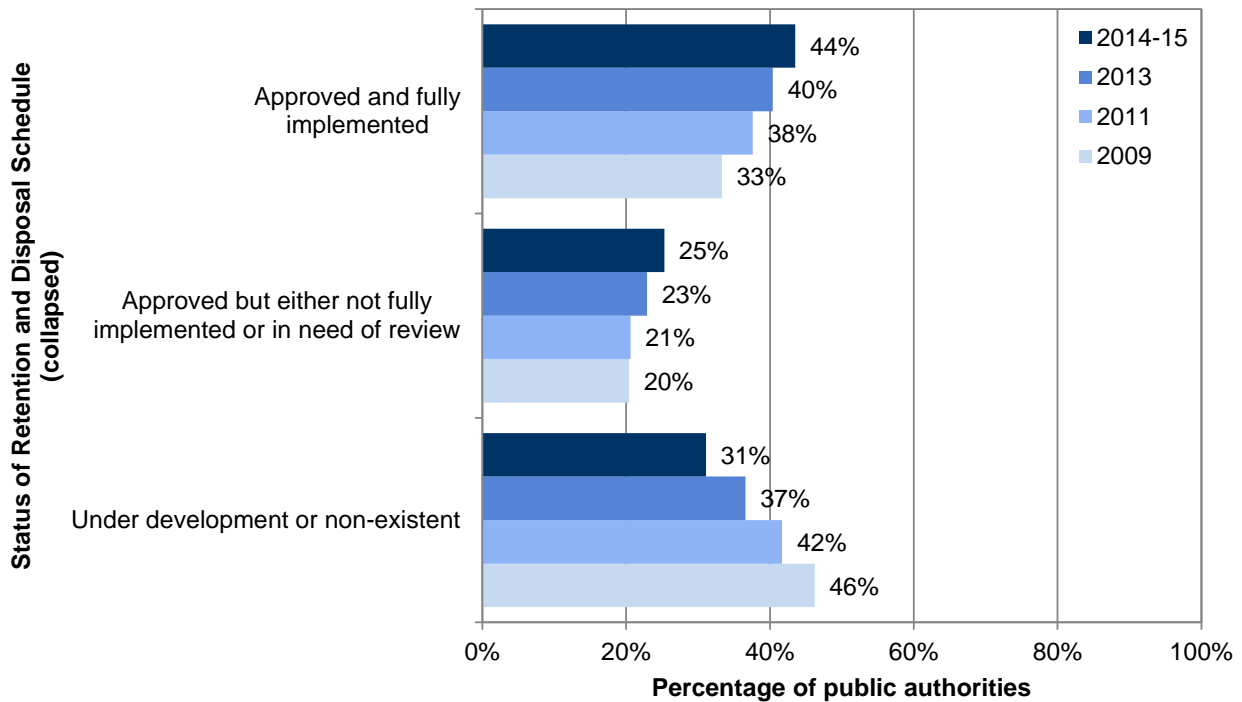


The percentage of responding public authorities with an approved and fully implemented retention and disposal schedule has increased since the 2009 survey. In 2009, 33% of authorities had an approved, implemented schedule, compared with 44% in 2014-15. Similarly, the percentage of authorities without fully approved schedule coverage<sup>49</sup> has decreased each year, from 46% in 2009 to 31% in 2014-15. Refer to Figure 30 for collapsed responses across all four surveys.

Of 21 government departments, five (24%) have an approved and fully implemented schedule, compared with 61% of local government authorities and 38% of other public authorities. Two departments had no core business schedule approved or in development at the time of the survey. A larger percentage of medium authorities have an approved and fully implemented schedule (52%) than small (38%) and large (35%) authorities. However, more small authorities had no schedule (25%) than medium (9%) and large (2%) authorities at the time of the survey.

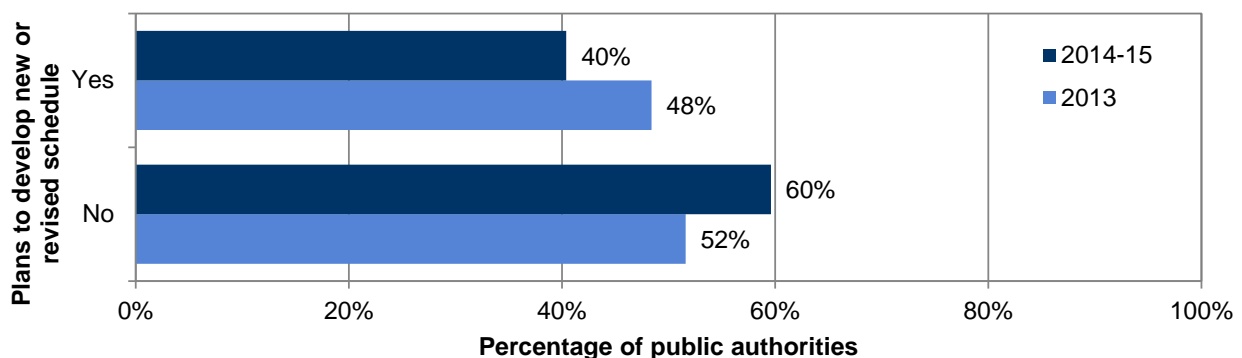
<sup>49</sup> Includes response categories “Partial schedule only”, “Schedule is under development” and “No core business schedule approved”.

**Figure 30: Retention and Disposal Schedule covering all core business records approved by the State Archivist (collapsed), Overall, 2009, 2011, 2013 and 2014-15**



Respondents were asked whether their public authority has any plans to develop a new or revised core retention and disposal schedule in the next two years. Of responding authorities, 40% have plans to develop a new or revised schedule within two years, a decrease from 48% in 2013. Refer to Figure 31 for question results across the two surveys<sup>50</sup>. A majority of government departments (17 of 21, 81%) plan to develop a schedule, while 19% of local government authorities have plans to do so. Among large authorities, 51% plan to develop a new or revised schedule, compared with 37% of medium and 38% of small authorities.

**Figure 31: Plans to develop a new or revised core retention and disposal schedule within the next two years, Overall, 2013 and 2014-15**



<sup>50</sup> As this question was asked for the first time in 2013, no data is available for prior surveys.

## IS31 Principle 2: The disposal of public records must be authorised by the State Archivist

The disposal (including the destruction, damage, abandonment, donation, amendment, sale or transfer) of public records (or part of a record) can only be performed with the written authorisation of the State Archivist or other legal authority. At a minimum, public authorities must:

- dispose of public records in accordance with a retention and disposal schedule approved by the State Archivist that is current at the time of disposal
- ensure all disposal is endorsed by the Chief Executive or an authorised delegate
- ensure the method of destruction of public records is appropriate to the sensitivity of the records and conforms with local environment regulations
- document the disposal of public records.

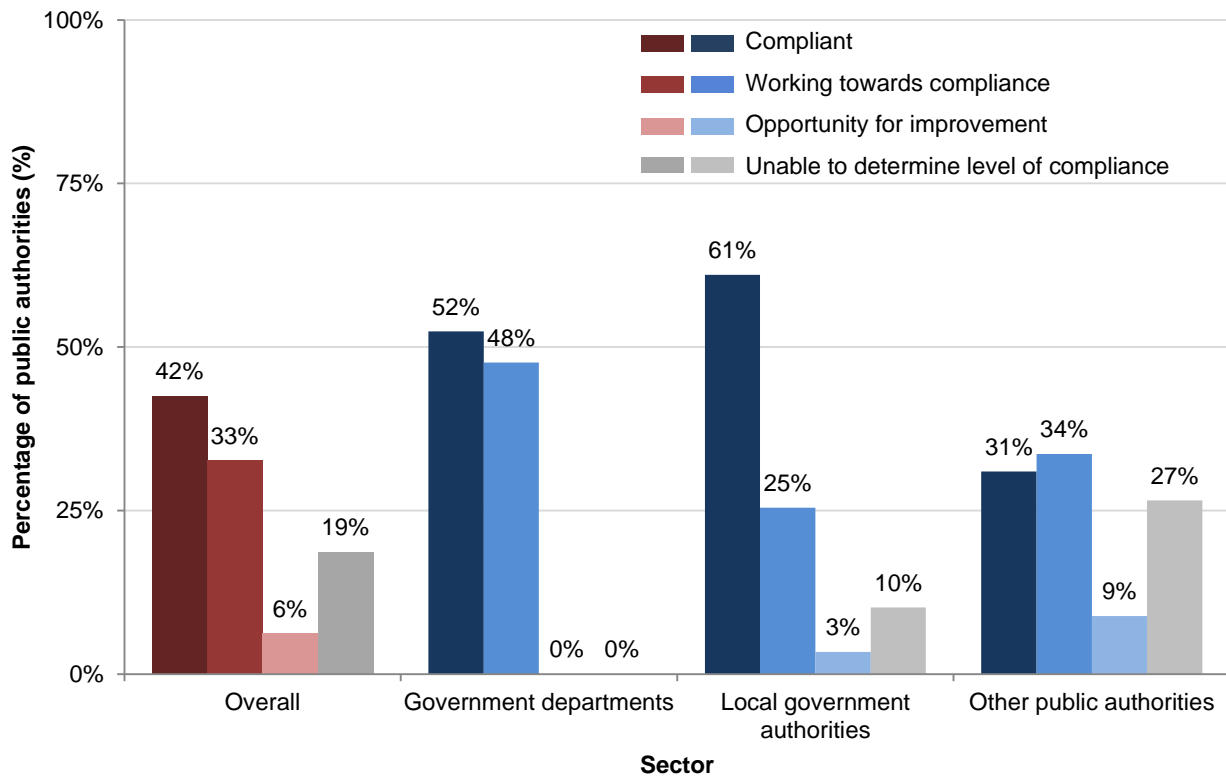
### *Survey findings*

- A level of compliance for IS31 Principle 2 could not be determined for a relatively large percentage of public authorities (19%), as these public authorities have not yet disposed of any public records.
- Of public authorities with an approved core business retention and disposal schedule, 58% regularly undertake disposal of public records in accordance with this schedule.
- Forty-nine per cent of responding public authorities indicated that they regularly undertake disposal of public records in accordance with the *General Retention and Disposal Schedule for Administrative Records (GRDS)*.
- Of responding authorities that have undertaken some disposal of public records:
  - 83% ensure all disposal is endorsed by the Chief Executive or an authorised delegate
  - 91% ensure the method of destruction is appropriate to the sensitivity of all records
  - 78% keep a permanent record of the disposal.

## Compliance

Compliance with IS31 Principle 2 was determined by responses to five questions relating to the disposal of public records. A compliance rating could not be determined for any authorities that had not disposed of any public records to date. Refer to Figure 32 for full compliance results. Note that compliance rules for this section have changed slightly since the 2013 survey, with a number of response options reclassified from 'opportunity for improvement'<sup>51</sup> to 'working towards compliance'.

**Figure 32: IS31 Principle 2 compliance ratings, by Sector and Overall**



## Analysis

Respondents whose public authority has an approved core retention and disposal schedule were asked how often disposal of public records is undertaken in accordance with this schedule, with:

- 58% regularly undertaking disposal
- 32% undertaking disposal occasionally
- 12% not having undertaken disposal yet.

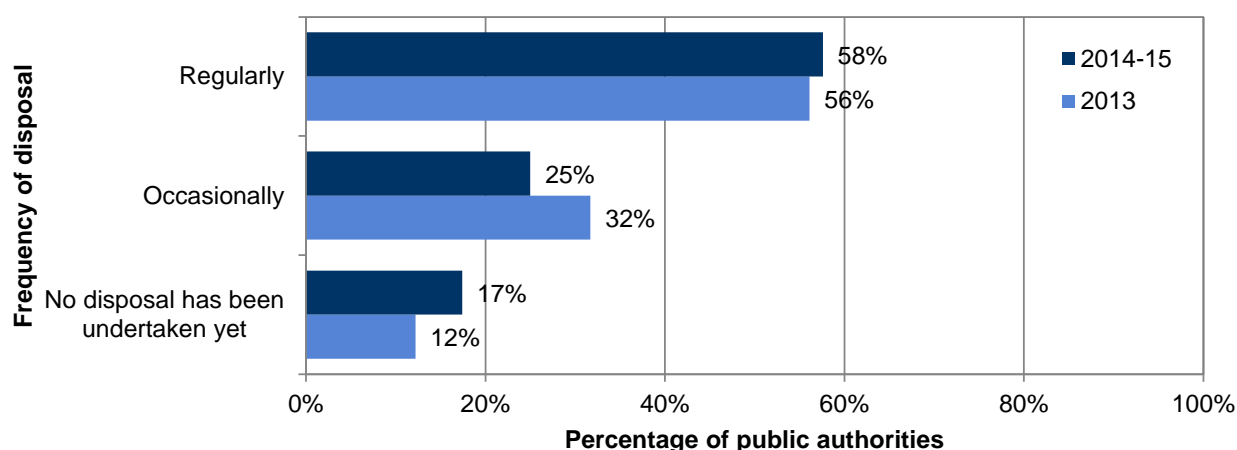
These numbers were similar to the 2013 survey—refer to Figure 33 for full question results.<sup>52</sup>

<sup>51</sup> Labelled "not compliant" in 2013

<sup>52</sup> As this question was asked in a different format in iterations of the survey prior to 2013, year-on-year comparisons are not possible

Of the 14 government departments with an approved core retention and disposal schedule, 50% undertake disposal regularly, five occasionally, and two had not yet undertaken disposal at the time of the survey. Among other public authorities with an approved schedule, 51% undertake disposal regularly, whereas 69% of local government authorities undertake regular disposal. A greater percentage of small authorities (30%) had not yet undertaken disposal at the time of the survey than medium (12%) and large (14%) authorities.

**Figure 33: Frequency of disposal of public records in accordance with core business Retention and Disposal Schedule, Overall, 2013 and 2014-15**

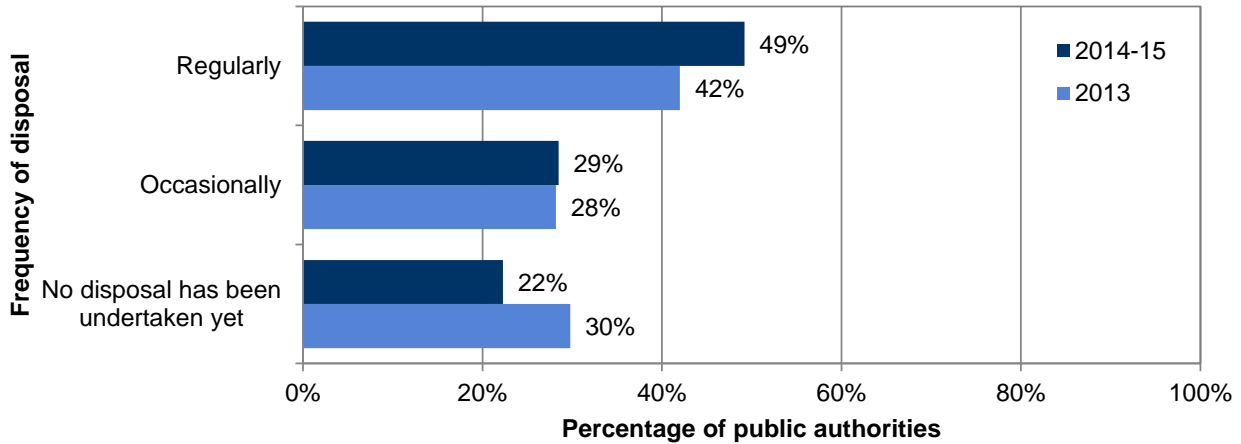


All respondents were asked how often their public authority undertakes disposal of public records in accordance with the *General Retention and Disposal Schedule for Administrative Records* (GRDS). Of responding authorities, 49% indicated that they regularly undertake disposal in accordance with the GRDS, up slightly from 42% in 2013. A further 29% indicated that they occasionally undertake disposal, and 22% had not yet undertaken disposal (see Figure 34) at the time of the survey.<sup>53</sup>

Across sectors, a larger percentage of government departments (71%) regularly undertake disposal in accordance with the GRDS than local government authorities (63%) and other public authorities (38%). Similarly, a larger percentage of large authorities undertake disposal in accordance with the GRDS than small authorities, with 67% undertaking regular disposal, compared with 50% of medium authorities and 36% of small authorities.

<sup>53</sup> This question was asked in a different format prior to 2013, therefore comparisons with previous results are not possible

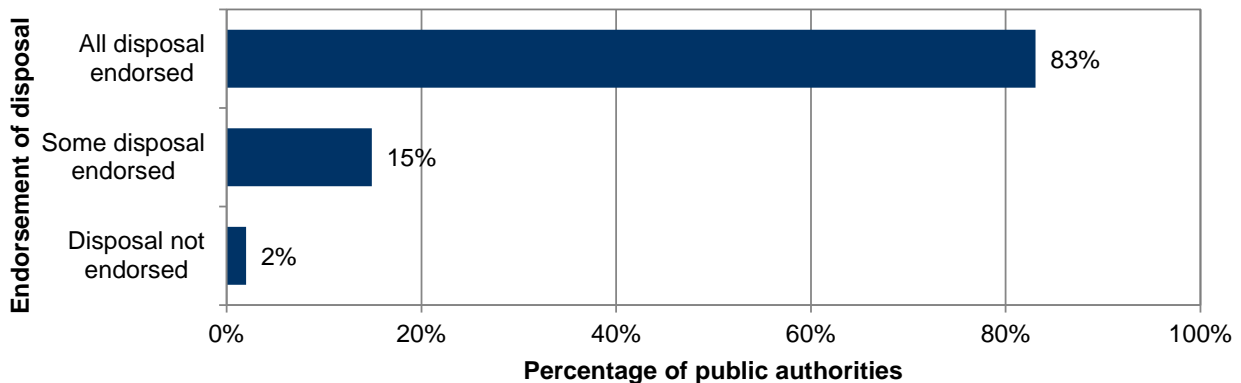
**Figure 34: Frequency of disposal of public records in accordance with the General Retention and Disposal Schedule for Administrative Records (GRDS), Overall, 2013 and 2014-15**



The final three questions regarding Information Standard 31 concerned the endorsement and documentation of the disposal of public records, and the method of destruction used. All three questions included the option 'No public records have been disposed of to date'. Analysis of these questions excludes respondents who chose this option.

Respondents were asked whether their public authority ensures all disposal of public records is endorsed by the Chief Executive or an authorised delegate. Of responding authorities that had undertaken some disposal, 83% said all disposal is endorsed, 15% said some disposal is endorsed, and 2% (three authorities) said their disposal is not endorsed (see Figure 35).

**Figure 35: Endorsement of disposal by Chief Executive or authorised delegate, Authorities that have undertaken some disposal of public records**

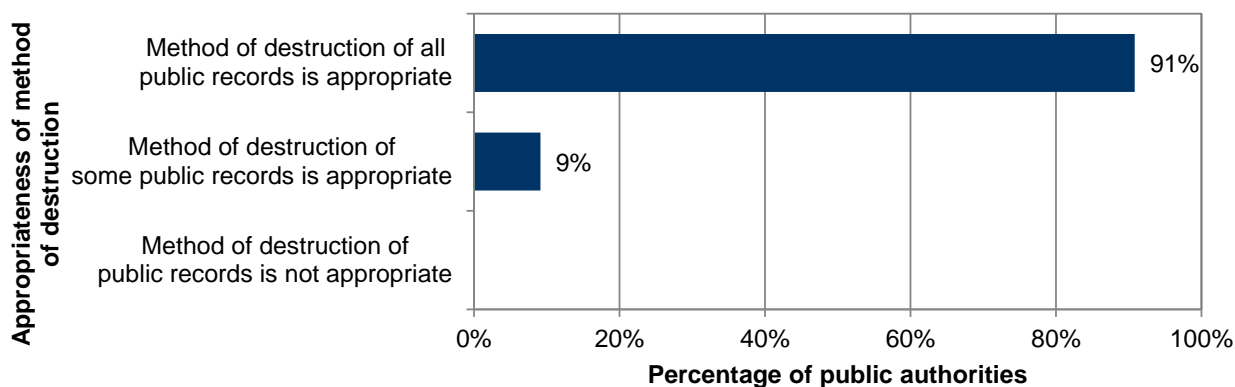


Across sectors, 81% of government departments, 94% of local government authorities and 77% of other public authorities that have undertaken some disposal indicated that all disposal is endorsed. All government departments have disposed of public records, and all indicated that either all or some disposal is endorsed. A smaller percentage of large authorities that have disposed of public records ensure all disposal is endorsed (65%) than medium (89%) and small authorities (90%).

Responding authorities were asked whether they ensure that the method of destruction of public records is appropriate to the sensitivity of the records. Of responding authorities that have undertaken some disposal, 91% claimed all records are destroyed using an appropriate method of destruction, while 9% said that only some records are destroyed using such a method (see Figure 36).

Across sectors, 81% of government departments, 98% of local government authorities and 89% of other public authorities that have undertaken disposal indicated that all public records were disposed of using a method appropriate to the sensitivity of the records. All but one of the small public authorities that had undertaken some disposal ensures records are destroyed using an appropriate method, compared with 95% of medium authorities and 78% of large authorities.

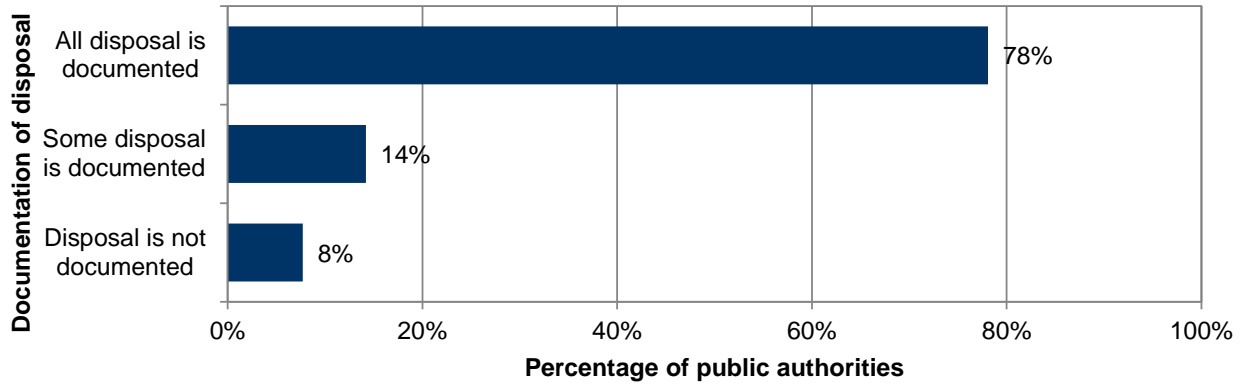
**Figure 36: Appropriateness of method of destruction of public records to sensitivity of records, Authorities that have undertaken some disposal of public records**



The final question in this section asked respondents if their public authority documents and maintains a permanent record of the disposal of public records. Among public authorities that have disposed of public records, 78% maintain such a record, 14% document some but not all disposal, and 8% do not document disposal (see Figure 37). Most government departments (86%) and local government authorities (90%) that have disposed of public records maintain a record of that disposal, compared with 68% of other public authorities.



**Figure 37: Documentation and maintenance of a permanent record of the disposal of public records, Authorities that have undertaken some disposal of public records**



## Appendix A: Survey methodology overview

### Authority and background

Under section 24(f) of Queensland's *Public Records Act 2002* (the Act), the Queensland State Archivist has legislative authority to 'conduct research and give advice about the making, managing, keeping and preserving of public records'.

As part of this work, QSA undertakes a biennial survey to collect and measure recordkeeping data against the minimum requirements of *Information Standard 40: Recordkeeping* (IS40) and *Information Standard 31: Retention and Disposal of Public Records* (IS31). The results of these surveys assist QSA to fulfil its legislative responsibility to assess and report on the extent to which public authorities are complying with the *Public Records Act 2002* and the recordkeeping Information Standards. Analysis of the survey data also informs the development of advice and other tools to help public authorities improve their recordkeeping practices. The inaugural Recordkeeping Baseline Survey was conducted in 2009, with follow-up Recordkeeping Surveys conducted in 2011 and 2013.

The *2014-15 Report on the Recordkeeping Survey of Queensland Public Authorities*:

- measures compliance with the minimum requirements of the recordkeeping Information Standards
- analyses data from the 2014-15 Recordkeeping Survey, both at the overall level and across a selection of cross-variables
- provides comparisons between the 2014-15 data and that of previous survey iterations.

### Survey objective

The objectives of the 2014-15 Recordkeeping Survey were to collect data on public authorities':

- compliance with the recordkeeping Information Standards IS40 and IS31
- processes for storing digital information
- current information holdings and intentions to transfer permanent physical records to QSA.

The process of completing the survey is also intended to help public authorities to self-identify levels of recordkeeping implementation, and to highlight any compliance gaps requiring their attention. The survey findings will be used to inform the development of advice and tools to assist public authorities to improve their recordkeeping practices. Additionally, the results of the survey are used by the State Archivist to fulfil the responsibility under the *Public Records Act 2002* of reporting on the status of recordkeeping across Queensland public authorities.

### Survey questions

To achieve one of the survey's primary objectives of assessing compliance, many of the survey questions were derived directly from the principles of IS40 and IS31. The two recordkeeping Information Standards were last revised in 2009, prior to the release of the baseline survey. As the principles have not changed since the first survey was conducted, the core questions for all four

iterations of the survey were the same except for some minor changes. This allows the comparison of responses given by authorities that were in-scope for all four iterations of the survey.

The 2014-15 questionnaire is provided in full in Appendix B. Major changes to the questionnaire are summarised as follows.

The following questions asked in the 2013 survey were removed:

- a screening question asking respondents if their public authority managed its own public records
- three questions about the number of recordkeeping and information management staff
- a question on the categories of Queensland Recordkeeping Metadata Standard (QRKMS) optional metadata elements recorded by public authorities
- nine questions seeking comments on each of the nine IS principles regarding the two Information Standards.

The following questions were added to the 2014-15 survey:

- two new questions (questions 6 and 6a) were asked about permanent value digital records which could be transferred to a digital archive
- four new questions on the volumes of permanent physical records held and whether public authorities intend that they will be transferred to QSA.
- two questions seeking overall comments regarding the two Information Standards.

The following changes were made to response options:

- question 2, regarding factors causing digital information to become inaccessible, was redesigned from an open text question to a list of options respondents could choose from
- a new category 'No recommendations were made' was added to question 13
- a category 'Fully secure systems implemented for both paper and digital records' was removed from question 22.

All changes that may have affected results between surveys are noted in the relevant sections of the survey analysis.

## Methodology

The 2014-15 Recordkeeping Survey was mandatory for public authorities (as defined by the *Public Records Act 2002*) that were known to manage their own records, and this was also the case for the 2009 and 2011 surveys. In 2013, however, *all* public authorities were required to participate, and respondents that indicated that all of their authority's public records were managed by another public authority were excused from completing most of the survey questions. This change in eligibility from 2013 to 2014-15 considerably reduced the sample size: a total of 245 public authorities were determined to be in-scope in 2014-15, compared with 411 in 2013, 192 in 2011 and 243 in 2009.

The survey was administered via the web with the assistance of the Queensland Government Statistician's Office. The web survey was conducted in two phases:

- government departments were asked to complete the survey between 3 November and 24 December 2014
- all remaining public authorities were asked to complete the survey between 25 February and 17 April 2015.

Public authorities were advised of the survey by email, with a request that the survey be completed by senior information management staff and the response endorsed by the Chief Executive Officer. One automated follow-up email was sent, and non-responding authorities were followed up on an ad hoc basis by QSA towards the end of the field period.

## Responses

A total of 193 in-scope public authorities responded to the 2014-15 Survey, giving a response rate of 79%. This response rate is calculated as follows:

$$\text{Response rate} = \frac{\text{Number of in-scope responding public authorities (193)}}{\text{Total number of in-scope public authorities (245)}} \times 100\%$$

This report does not contain information that may identify the responses of any specific public authority.

## Analysis

Although all public authorities were invited to complete the survey in 2013 regardless of who managed their public records, only authorities that managed their own records were required to answer the majority of questions. It is therefore viable to compare responding public authorities across all four survey iterations, where not limited by other factors (for example, changes to the questionnaire). Note that year-on-year comparisons of government departments are likely to be influenced by machinery-of-government restructures. Differences in results for departments may be the result of structural reorganisation rather than actual changes in recordkeeping behaviour by departments.

For the purposes of analysis, public authorities' responses were considered:

- at the overall level
- grouped by sector
- grouped by the size of the organisation (determined by the number of full-time equivalent (FTE) staff).

Public authorities were classified into three sectors:

- **Government departments:** Administrative Units of the Queensland Government established by Order in Council under the *Constitution of Queensland 2001*
- **Local government authorities:** Public authorities established under the *Local Government Act 2009*, for example a city council or regional council
- **All other public authorities:** Public authorities that are subject to the *Public Records Act 2002* and manage their own records, for example Government owned corporations, tertiary

institutions and grammar schools, boards, offices, authorities and other entities established by an Act.

Table 1 shows the number of public authorities from which responses to the survey were sought and received for each sector.

**Table 1: Responses sought and received by Sector, 2014-15**

Sector	In-scope <sup>54</sup>	Responded
Government departments	21	21 (100%)
Local government authorities	77	59 (77%)
All other public authorities	147	113 (77%)
<b>Overall</b>	<b>245</b>	<b>193 (79%)</b>

Respondents were asked to indicate the number of FTE staff in their public authority, and this information was used to categorise authorities by size. Public authorities were categorised as:

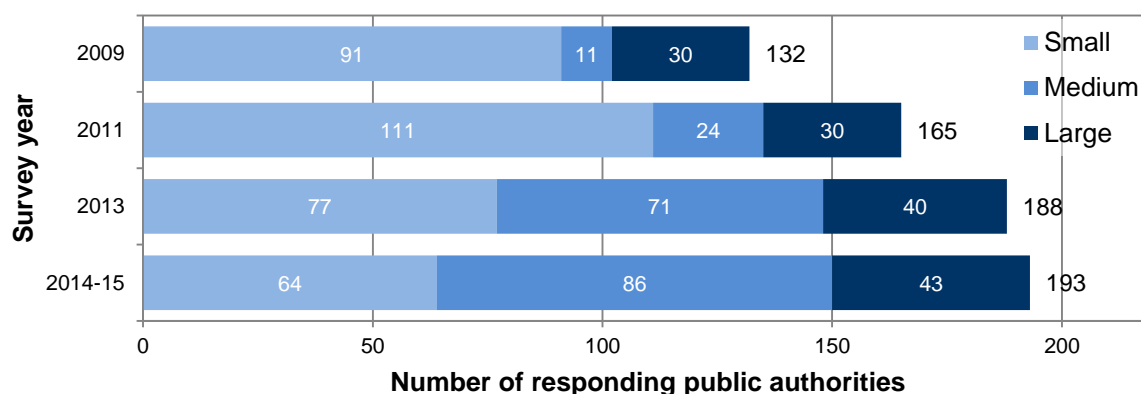
- small (less than 100 FTE staff)
- medium (100 to less than 1000 FTE staff)
- large (1000 or more FTE staff).

Figure 38 shows the number of responses by size categories, across all four surveys.

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<sup>54</sup> Five public authorities were determined to be out-of-scope (i.e. they did not manage their own public records) during the survey field period and were not required to complete the survey

**Figure 38: Number of responding public authorities by size, across four survey iterations**



### Compliance ratings

The survey sought to measure the level of compliance of public authorities for each of the nine Information Standard principles within Information Standards IS40 and IS31. For each principle, authorities received one of the following compliance ratings:

- compliant
- working towards compliance
- opportunity for improvement<sup>55</sup>.

All response categories were classified according to compliance<sup>56</sup>, and authorities' compliance with each principle was calculated as follows:

- if a respondent selected only 'compliant' options for questions relating to a particular principle, their public authority received a rating of 'compliant' for that principle
- if a respondent selected either (a) all 'working towards compliance' options, or (b) a combination of 'compliant' and 'working towards compliance' options for questions relating to a particular principle, their public authority received a rating of 'working towards compliance' for that principle
- if a respondent selected an 'opportunity for improvement' option for one or more questions relating to a particular IS principle, their public authority received a rating of 'opportunity for improvement' for that principle.

In some instances it was not possible to assign compliance ratings to authorities. For example, if an authority selected 'other' for any questions, and the further information they provided was not deemed sufficient to determine their level of compliance, they were assigned a rating of 'Unable to determine level of compliance.'

<sup>55</sup> In 2013, this category was labelled 'Not compliant'.

<sup>56</sup> Responses of "other" containing further information were assessed individually to determine their level of compliance where possible

Question response options are coded according to compliance ratings in Appendix B using the following key (after each answer):

- (c) indicates 'compliant'
- (wtc) indicates 'working towards compliance'
- (ofi) indicates 'opportunity for improvement'.

### **Notes on reading the survey results**

All figures reported have been rounded, and consequently some totals may not add to exactly 100%. Additionally, some questions allowed respondents to choose more than one answer, and totals for those questions may exceed 100%.

Survey results were collected over a six month period. During this time, machinery-of-government changes took place, including changes to some public authorities. Further, public authorities' recordkeeping practices may have changed since the data was collected. This report does not account for any changes in recordkeeping practices since responses were provided.

## Appendix B: Questionnaire

### Queensland State Archives Recordkeeping survey of Queensland public authorities 2014-15

**Thank you for taking part in the recordkeeping survey.**

#### **Purpose of this survey**

Queensland State Archives undertakes a biennial survey of Queensland public authorities to collect and measure recordkeeping data against the minimum requirements of *Information Standard 40: Recordkeeping* and *Information Standard 31: Retention and disposal of public records*.

These surveys aim to assist public authorities in their continual improvement in recordkeeping activities, and to comply with the recordkeeping requirements of the *Public Records Act 2002*.

A summary of survey results will be published on the Queensland State Archives' website and key findings documented in the 2014-15 Annual Report.

#### **Use of data**

Identified survey responses will be available for analysis by Queensland State Archives to inform the development of recordkeeping advice. To most accurately represent the results of the survey, relevant responses may also be published in the final survey report.

Queensland State Archives supports the Queensland Government's open data initiative. If you provide consent, your responses to this survey may be released through the Queensland Government's open data portal. All identifying fields (for example, names, phone numbers, addresses and email addresses) and free text will be deleted before any data is released.

**Please use the checkboxes below to indicate whether you consent for your data to be released.**

- I agree that my de-identified data can be released on the open data portal
- I do not agree that my de-identified data can be released on the open data portal

**Completion of this survey is mandatory for all Queensland public authorities that manage their own records.**



**A. Note that:**

1. The Chief Executive Officer (CEO) must endorse the completed survey before it is submitted.
2. Queensland State Archives is unable to provide a copy of submitted surveys and recommends public authorities retain a copy of endorsed surveys for your records.
3. Your public authority must submit one coordinated survey response. It may be necessary for Information Managers and Chief Information Officers or Directors of Information Management and other key executives to collaborate on the response.
4. It may be difficult to respond to some questions on behalf of the whole public authority when the units that make up the organisation have different responses to certain questions. In this case, select the response that best fits the whole public authority.
5. For enquiries regarding the content of the survey, please call Queensland State Archives for advice on (07) 3131 7936.
6. For enquiries regarding the online lodgement of the survey, please contact the Queensland Government Statistician's Office on telephone 1800 068 587.
7. An asterisk (\*) indicates a mandatory field or question that must be completed.

**B. \*Respondent details**

Name of Public authority	
Name of Chief Executive Officer	
Chief Executive Officer email address	
Name of officer(s) completing the survey	
Position of officer(s) completing the survey	
Contact telephone number	
Contact email address	
Location	
Number of full-time equivalent (FTE) staff employed by your public authority	

Queensland State Archives is collecting information in this survey form, including your personal information, for the purpose of conducting the *Recordkeeping survey of Queensland public authorities 2014-15*. The contact details provided may be used by Queensland State Archives in the future to communicate advice on government recordkeeping. The information on this form will also be accessible by the Queensland Government Statistician's Office (Queensland Treasury and Trade) for the purpose of collating and analysing survey response data. Queensland State Archives will not disclose your personal information to any other third parties or use it for any other purpose without your consent, unless this use is authorised or required by law.

## How to complete

1. Words underlined with dots indicate that additional information is available online when the word is hovered over or selected. For example, IS40 Principle 1. You can view this additional information in the online version of the survey, or via the webpage for each information standard (*Information Standard 40: Recordkeeping and Information Standard 31: Retention and disposal of public records*).
2. Words underlined with a solid line indicate that a link is provided when you left click on that word. For example, Business Classification Scheme.
3. The SAVE button (at the bottom of each internet browser page) can be used if you want to save the information you have already provided and want to return to the questionnaire at a later time.  
*(Please note: DO NOT use your internet browser's 'Save' function to save your responses).*
4. Your unique login and password will allow you to access your partially completed questionnaire online. You can change your responses if required.
5. Please complete the questionnaire by selecting the box next to the relevant answers. Any additional information you would like to supply is appreciated. Optional comments can be provided at the end of each section.
6. Prior to submission of the survey it will be necessary for you to obtain endorsement from your Chief Executive Officer. Public authorities are encouraged to keep a record of the endorsement process and of the final survey submitted to Queensland State Archives.
7. When you have completed the survey, you must click on the SUBMIT SURVEY button. Once submitted, your questionnaire will no longer be accessible.

You may wish to collate your responses prior to commencing the survey. Please use [this link](#) to obtain a full PDF of the survey.

## Digital Continuity

Please note you may need to consult your Information, Communication and Technology (ICT) division to answer the questions relating to this digital continuity section.

As the official custodian for Queensland public records and as lead agency for government recordkeeping, Queensland State Archives has a key role to play in ensuring that all public records, regardless of format, are preserved and remain accessible for as long as required. Ensuring long-term access to digital records presents many challenges due to the deterioration of storage media; obsolescence of software, storage media, and hardware; and the complexities associated with authenticity and integrity of digital records. Queensland State Archives has published the [Queensland Government Digital Continuity Strategy: Future proofing the critical digital records of government business](#), which outlines a strategy for managing digital records over the long term.

Under the *Public Records Act 2002*, public records, including those in digital form, can only be disposed of with authorisation from the State Archivist. There is no 'default' period for how long digital records should be kept and retention periods can range from 'retain until reference ceases' to 20, 50 or 70 years, or even to permanent retention, as indicated in authorised [Retention and Disposal Schedules](#).

The questions in this section will assist Queensland State Archives in developing its digital archive program.

1. **\*Are you confident that your public authority's digital information will remain accessible for its required retention period?**

*(Select the option which most closely describes your level of confidence)*

- Yes, for all information (Go to Q4)
- Yes for all critical business information, but other information is at risk of loss
- Yes for some, but not all, information
- No, not confident
- No, not confident and therefore primarily rely on paper records
- No, and are aware that access has been lost to some information
- Unsure as required retention periods are not known

2. **\*If digital information has become inaccessible or is known to be at risk of becoming inaccessible, what factors have caused this?**

*(Select all options that apply)*

- Information is in older, unsupported systems
- File formats have, or may, become inaccessible
- Stored on offline media that may be lost or corrupted
- Stored on obsolete media (i.e. agency no longer has the technology to read the media)
- Lack of governance and little knowledge of what is held
- Others (please list) \_\_\_\_\_

3. **\*The following are some reasons why your public authority may find it difficult to ensure digital information remains accessible over time. Please review the list below and select all options that apply to your organisation.**

*(Select all options that apply)*

- No holistic oversight or responsibility for all digital records in ICT systems
- Lack of recordkeeping controls in business ICT systems
- No electronic document and records management system (eDRMS)
- Limited implementation and/or uptake of eDRMS
- Lack of skilled ICT or IM staff
- Lack of organisational awareness or prioritisation of the problem
- Difficulties in migrating data from older systems
- Increasing volumes of digital records
- Proliferation of file formats
- Lack of ICT infrastructure
- Insufficient understanding of technical processes for preserving digital records
- Others (please specify)

4. **\*What is the total volume of digital information stored by your public authority (excluding backups)?**

*(Please specify the unit of measurement, e.g. terabyte, gigabyte, petabyte, etc.)*

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5. **\*Digital information can be stored in a variety of formats such as databases, Word documents, digital images etc. What proportions of digital information are held in the following formats:**

*(Estimates are acceptable. Percentages must total 100.)*

\_\_\_\_ % documents (e.g. Word, PDF or Excel)

\_\_\_\_ % data sets/databases/business systems

\_\_\_\_ % email

\_\_\_\_ % photographs and images

\_\_\_\_ % audio

\_\_\_\_ % video

\_\_\_\_ % other (please specify in Q5a)

\_\_\_\_ Unable to estimate

- 5a. **What 'other' types of formats (if any) do you use to store digital information?**
-

6. **\*Do you have any permanent value digital records which are no longer required for current business use and could potentially be transferred to a digital archive?**

*(Select one option)*

- Yes (please specify in Q6a)
- No (Go to Q7)
- Not sure (Go to Q7)

6a. **Can you provide details (e.g. volume, format, record series)?**

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7. **Please include any general comments about digital continuity, or any information that clarifies your responses to the previous questions on digital continuity.**

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*For the following questions, response options are coded according to compliance ratings in this Questionnaire using the following key (after each answer):*

- *(c) indicates 'compliant'*
- *(wtc) indicates 'working towards compliance'*
- *(ofi) indicates 'opportunity for improvement'.*

## **Information Standard 40: Recordkeeping**

### **IS 40 Principle 1–Public authority recordkeeping must be compliant and accountable**

**8. \*How does your public authority document its business activities and recordkeeping requirements?**

*(Select all options that apply)*

- Legislative mapping (c)
- Business Classification Scheme (c)
- Retention and Disposal Schedule (c)
- Recordkeeping policy/procedures (c)
- Business process mapping (c)
- Recordkeeping manual (c)
- Strategic Recordkeeping Implementation Plan (SRIP) (c)
- Operational Recordkeeping Implementation Plan (ORIP) (c)
- Recordkeeping audit plan (c)
- Other (please specify) \_\_\_\_\_
- None documented (ofi)

**9. \*Does your public authority have a recordkeeping strategy endorsed by the Chief Executive?**

*(Select the option which most closely reflects your public authority)*

- Recordkeeping strategy endorsed and fully implemented (c)
- Recordkeeping strategy endorsed and being implemented (wtc)
- Recordkeeping strategy endorsed but implementation yet to begin (wtc)
- Recordkeeping strategy under development (*Go to Q11*) (wtc)
- No recordkeeping strategy (*Go to Q11*) (ofi)

**10. \*Does this endorsed recordkeeping strategy cover all business units and activities undertaken by your public authority?**

*(Select the option which most closely reflects your public authority)*

- All business units and activities (c)
- Majority of business units and/or activities (wtc)
- Some but not most business units and/or activities (wtc)

## **IS 40 Principle 2—Recordkeeping must be monitored and audited for compliance**

### **11. \*How often does your public authority conduct an assessment, review and/or audit of its recordkeeping program (i.e. practices, procedures and systems)?**

*(Select one option)*

- Half yearly or more frequently (c)
- Annually (c)
- Biennially (c)
- Ad hoc (wtc)
- Never (Go to Q14) (ofi)
- Other (please specify) \_\_\_\_\_

### **12. \*When was the last recordkeeping assessment, review and/or audit completed?**

*(Please answer in the format (dd/mm/yyyy). If you cannot recall the exact day of the month please enter your best approximation.)*

- Date \_\_/\_\_/\_\_\_\_

### **13. \*Following the last recordkeeping assessment, review and/or audit, to what extent did your public authority implement any recommendations to improve recordkeeping?**

*(Select one option)*

- Implemented all recommendations (c)
- Implemented some recommendations (c)
- No recommendations were made (c)
- Planning implementation of recommendations (wtc)
- Not implementing any recommendations (ofi)

### **14. \*Are regular reporting arrangements in place to update your public authority's CEO of recordkeeping issues and/or progress?**

*(Select one option)*

- Yes—quarterly or more frequently (c)
- Yes—half yearly (c)
- Yes—annually (c)
- Ad hoc reporting occurs (wtc)
- Other (please specify) \_\_\_\_\_
- No reporting arrangements in place (ofi)

### **IS 40 Principle 3—Recordkeeping activity must be assigned and implemented**

**15. \*How are responsibilities for recordkeeping activities formally assigned to staff in your public authority?**

*(Select all options that apply)*

- Dedicated recordkeeping unit (c)
- Dedicated recordkeeping staff (c)
- Business plans in place (c)
- Assigned through delegations (c)
- Other (please specify) \_\_\_\_\_
- No responsibilities for recordkeeping activities formally assigned (ofi)

**16. \*How does your public authority communicate roles and responsibilities for records management across the organisation, including regional offices and business units?**

*(Select all options that apply)*

- Position descriptions
- Induction sessions
- Staff performance reviews
- Organisation chart
- Policies and procedures
- Training and awareness activities
- Online communication (e.g. intranet and email)
- Annual report
- Other (please specify) \_\_\_\_\_
- No recordkeeping roles and responsibilities communicated (ofi)



## **IS 40 Principle 4—Recordkeeping must be managed**

### **17. \*Is responsibility for records management assigned to an appropriately skilled manager or senior administrative officer?**

*(Select one option)*

- Yes—assigned to appropriately skilled manager (c)
- Yes—assigned to a senior administrative officer (c)
- Other (please specify) \_\_\_\_\_
- Not assigned to appropriately skilled manager or senior administrative officer (ofi)

### **18. \*Which of the following positions relating to recordkeeping and information management does your public authority have?**

*(Select all options that apply)*

- Chief Information Officer
- Director of Information Management
- Director of Recordkeeping
- Recordkeeping Manager
- Information Management Manager
- Senior Records Officer
- Records Officer
- Other (please specify) \_\_\_\_\_
- No specific positions relating to recordkeeping or information management

### **19. \*To what extent is a records management program in place for the whole public authority that clearly documents policies, procedures and business rules for managing records?**

*(Select the option which most closely reflects your public authority)*

- Fully implemented for the whole public authority (c)
- Being implemented for the whole public authority (wtc)
- Fully implemented in some areas only (wtc)
- Fully implemented in some areas and being implemented in other areas (wtc)
- Being implemented in some areas only (wtc)
- Records management program under development (wtc)
- Other (please specify) \_\_\_\_\_
- No records management program in place (ofi)

**IS 40 Principle 5—Recordkeeping systems must be reliable and secure**

20. **\*Are your public authority's recordkeeping systems predominantly digital or paper-based?**

*(Select one option)*

- Predominantly paper-based (c)
- Predominantly digital (Go to Q22) (c)
- Combination of paper and digital (c)
- Do not currently have a recordkeeping system (ofi)

21. **\*Does your public authority intend to transition to a predominantly digital recordkeeping system?**

*(Select one option)*

- Yes, within the next 2 years
- Yes, in 3-5 years
- Yes, in 6-10 years
- Currently no plans

22. **\*Does your public authority have systems in place to secure public records from unauthorised access, damage and misuse?**

*(Select all options that apply)*

- All digital records secure (c)
- Some digital records secure (wtc)
- No digital records secure (ofi)
- All paper records secure (c)
- Some paper records secure (wtc)
- No paper records secure (ofi)

23. **\*What mechanisms (if any) does your public authority use to ensure the reliability and security of its recordkeeping systems?**

*(Select all options that apply)*

- Encryption/digital signatures
- Firewalls
- System security (e.g. passwords, permission levels)
- Secure paper storage
- Secure destruction bins

- Policies and procedures
- Recordkeeping systems have adequate ICT support
- Other (please specify) \_\_\_\_\_
- No mechanisms in place (ofi)

#### **IS 40 Principle 6—Recordkeeping must be systematic and comprehensive**

**24. \*Does your public authority have processes in place to ensure records are created, stored and maintained systematically?**

*(Select the option which most closely reflects your public authority)*

- Processes implemented for both paper and digital records (c)
- Processes implemented for paper records with plans for digital records (wtc)
- Processes implemented for paper records only (wtc)
- Processes implemented for digital records only (wtc)
- Some processes implemented for paper records (wtc)
- Some processes implemented for digital records (wtc)
- Processes implemented in some parts of your public authority only (wtc)
- No processes in place (ofi)

**25. \*Does your public authority create, store and maintain records that document the complete range of business activities that it undertakes?**

*(Select one option)*

- Yes—records are created, stored and maintained that document the complete range of business activities undertaken (c)
- No—records are only created, stored and maintained for some of the business activities undertaken (wtc)
- No records of the business activities undertaken are created, stored or maintained (ofi)

**IS 40 Principle 7–Full and accurate records must be made and kept for as long as they are required for business, legislative, accountability and cultural purposes**

26. **\*Has your public authority developed and implemented a Business Classification Scheme based on an analysis of its functions and activities?**

*(Select one option)*

- Yes—fully developed and implemented (c)
- Yes—fully developed and partly implemented (wtc)
- Yes—but requires updating (wtc)
- Yes—developed but not implemented (wtc)
- No—but under development (wtc)
- Not developed (ofi)

27. **\*Does your public authority capture minimum mandatory metadata for all records in accordance with the Queensland Recordkeeping Metadata Standard (QRKMS)?**

*(Select one option)*

- QRKMS minimum mandatory and some optional metadata elements are captured (c)
- QRKMS minimum mandatory metadata elements are captured (c)
- Some metadata is captured (wtc)
- Other (please specify) \_\_\_\_\_)
- No metadata is captured (ofi)

28. **Please include any general comments about IS40 or any information that clarifies your responses to the above questions. Where relevant, please clarify the Principle your comment relates to.**

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## **Information Standard 31: Retention and Disposal of Public Records**

A Retention and Disposal Schedule is a document issued by the State Archivist authorising the disposal of public records. The schedule itself is a document, approved by the State Archivist, which:

- describes the type of business a public authority performs
- identifies the records produced as a result of that business
- specifies how long each record must be kept.

There are three main types of schedules:

- Agency specific—covers public records unique to the public authority based on the functions it performs
- Sector-wide—covers records of similar public authorities (e.g. local government, universities, energy sector) and based on functions common to these public authorities
- General—the General Retention and Disposal Schedule for Administrative Records (GRDS) – covers administrative records common to all public authorities and based on common functions.

Agency specific and sector-wide schedules may also be referred to as core schedules.

### **IS 31 Principle 1—Public authorities must ensure public records are retained for as long as they are required**

29. **\*Does your public authority have a Retention and Disposal Schedule, approved by the State Archivist, covering all of its core business records? This may be in the form of an agency or sector-specific schedule, such as the Local Government Sector Retention and Disposal Schedule.**

*(Select the option which most closely reflects your public authority)*

- Approved and fully implemented (c)
- Approved and partially implemented (wtc)
- Approved but not yet implemented (wtc)
- Approved and implemented but under review (wtc)
- Approved and implemented but requires review (wtc)
- Partial schedule only (wtc)
- Schedule is under development (*Go to Q31*) (wtc)
- No core business schedule approved (*Go to Q31*) (ofi)

30. **\*What is the Queensland Disposal Authority Number (QDAN) for the Schedule(s)?**

*(Please provide full number e.g. QDAN 12v3)*

QDAN number \_\_\_\_\_

31. **\*Does your public authority have any plans to develop a new or revised core retention and disposal schedule in the next two years?**

*(Select one option)*

Yes

No

*If Q29 = 'Schedule is under development' or 'No core business schedule approved' go to Q33*

### **IS 31 Principle 2–The disposal of public records must be authorised by the State Archivist**

32. **\*How often does your public authority undertake disposal of public records in accordance with an approved core business retention and disposal schedule?**

*(Select one option)*

Regularly (in accordance with Queensland State Archives' guidelines) (c)

Occasionally (e.g. driven by office relocation or lack of space) (wtc)

No disposal has been undertaken yet

33. **\*How often does your public authority undertake disposal of public records in accordance with the General Retention and Disposal Schedule for Administrative Records (GRDS)?**

*(Select one option)*

Regularly (in accordance with Queensland State Archives' guidelines) (c)

Occasionally (e.g. driven by office relocation or lack of space) (wtc)

No disposal has been undertaken yet

34. **\*Does your public authority ensure all disposal of public records is endorsed by the Chief Executive or an authorised delegate?**

*(Select one option)*

- Yes—all disposal endorsed by the Chief Executive or an authorised delegate (c)
- Some disposal endorsed by the Chief Executive or an authorised delegate (wtc)
- Disposal not endorsed by the Chief Executive or an authorised delegate (wtc)
- No public records have been disposed of to date

35. **\*Does your public authority ensure that the method of destruction of public records is appropriate to the sensitivity of the records?**

*(Select one option)*

- Yes—method of destruction of all public records is appropriate to the sensitivity of records (c)
- Yes—method of destruction of some public records is appropriate to the sensitivity of records (wtc)
- No—public records are not destroyed using a method of destruction appropriate to the sensitivity of the records (wtc)
- No public records have been disposed of to date

36. **\*Does your public authority document and maintain a permanent record of the disposal of its public records?**

*(Select one option)*

- Yes—permanent record of all disposal of public records is documented and maintained (c)
- Yes—permanent record of some disposal of public records is documented and maintained (wtc)
- No—disposal of public records is not documented (ofi)
- No public records have been disposed of to date

37. **Please include any general comments about IS31 or any information that clarifies your responses to the above questions? Where relevant, please clarify the Principle your comment relates to.**

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## ***Transfer and storage volumes***

The following questions relate to your current information holdings and your future intentions to transfer records identified as 'permanent' to the custody of Queensland State Archives. After selecting the option that applies, please provide the quantity of records and the unit of measure that applies. Estimates are acceptable.

**38. \*Please estimate the total quantity of permanent paper based records your public authority holds:**

*(Select one option. Please include the unit of measurement (e.g. Type 1 Archive box, linear metres))*

- Quantity of paper based records \_\_\_\_\_
- Unable to provide an estimate

**39. \*Please estimate the total quantity of permanent records in other formats (physical) your public authority holds in the following categories:**

*(Please provide the quantity and the unit of measurement (e.g. Type 1 Archive box, linear metres) in your response)*

- Photographs \_\_\_\_\_
- Maps and plans \_\_\_\_\_
- Microfilm \_\_\_\_\_
- Audio visual (analogue e.g. video, audio cassettes, film)  
\_\_\_\_\_
- Other (please specify) \_\_\_\_\_
- Unable to provide an estimate

**40. \*Please estimate the quantity of permanent records your public authority intends to transfer to Queensland State Archives within the next two years:**

*(Please provide the quantity and the unit of measurement (e.g. Type 1 Archive box, linear metres) in your response)*

- Paper based records \_\_\_\_\_
- Records in other formats (physical) \_\_\_\_\_
- Does not intend to transfer any records
- Unable to provide an estimate

**41. Since the last recordkeeping survey in 2013, do you have any other concerns/issues you would like to raise in relation to your current recordkeeping environment?**

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

*(End survey)*



**IMPORTANT**

The next page lists all survey questions, along with the answers that have been provided for your public agency (in blue). At the bottom of the next page please indicate that the CEO has endorsed these responses.

Queensland State Archives recommends that you retain a copy of the next page for your agency's records.

**Authorisation by Chief Executive Officer**

The coordinated survey responses above are based on recordkeeping data collected from business units across the whole public authority.

Name: \_\_\_\_\_

Position: \_\_\_\_\_

Date: \_\_\_\_\_