

Information and records management capability

The statements contained in the table below are drawn from the *Information and records management standard* issued in July 2016. The statements and questions are not exhaustive, they are a starting point to assist an Executive Sponsor in understanding their organisations information and records management capability.

Statement	Questions
<p><i>The strategy and policy adopted by the organisation supports information and records management</i></p>	<ul style="list-style-type: none"> ▪ Do we have an information and records management strategy and policy? If not, what is being done about it? Is there a plan? ▪ Are we able to demonstrate that the information and records management strategy and policy are relevant, current and adapted to our business context, i.e. do they support operational deliveries? ▪ How do we monitor the application of strategies and policies? ▪ Does the policy reflect the legislative responsibilities of the organisation? ▪ Do the strategy and policy include responsibilities as well as the Executive Sponsors oversight of information and records management?
<p><i>Strategic and operational planning align information and records management with the corporate objectives and business activities of the organisation</i></p>	<ul style="list-style-type: none"> ▪ Does capability development take into consideration information and records management? ▪ Is information and records management included in the procurement process when choices of solutions and technologies are made regarding business activities and services delivery? ▪ Does the information and records management strategy refer to, or is it included in, other strategic frameworks (If yes, which ones)? ▪ Have we identified and valued our information assets? ▪ Do we take into account information and records management in risk assessment and management? ▪ Do we have a formal process for implementing corrective actions if required?
<p><i>The budget for information and records management, and the resources needed to support information and records management are known and included in funding decisions</i></p>	<ul style="list-style-type: none"> ▪ Are we able to identify budget allocations for information and records management? ▪ What is the percentage of overall budget? ▪ How is it broken down?

Statement	Questions
<p><i>Information and records management is integrated into work processes, systems and services</i></p>	<ul style="list-style-type: none"> ▪ Do we have an Information Assets Register? Is there a process in place to maintain it? ▪ Do business owners and business units take responsibility for ensuring that information and records management is integrated into their business processes, systems and services? ▪ Do we have a map of processes, systems and services in the organisation which identifies critical points of impact on information and records management delivery? ▪ Are high risk/high value areas of business documented, including identification of information and records needed to support them? ▪ Are systems holding information and records of high risk/high value identified, monitored, protected and decommissioned appropriately (if required)? ▪ Do we have a migration strategy in place? And if yes, is it implemented? ▪ Do we address information and records management matters in our business continuity strategy and plans?
<p><i>Staff with appropriate skills are available to implement information and records management strategies</i></p>	<ul style="list-style-type: none"> ▪ How is information and records management currently resourced in the organisation? If there are gaps, are there plans to address them? ▪ Do we outsource any information and records management activities? If yes, which ones? ▪ Is responsibility for information and records management assigned to appropriate staff, documented in policy, job descriptions, performance plans, and service agreements (for contractors)?
<p><i>Monitoring and reviewing information and records management is implemented, transparent, and meets business needs</i></p>	<ul style="list-style-type: none"> ▪ Do we have a monitoring process in place for information and records management activities? ▪ What reporting is done and how often? ▪ Do we undertake system audits on a regular basis? ▪ Do we implement any corrective actions and how are problems addressed? ▪ Do we have assurance processes in place that include information and records management?