

Monitoring

1 Introduction

The *Information and records management standard* establishes a formal requirement for organisations to monitor all aspects of their information and records management, “to ensure that it is accurately performed and meets business needs”.

Regular monitoring ensures that information and records are managed efficiently and effectively according to best practice and that this management continues to meet the business needs of the organisation and the requirements of government.

2 Responsibilities

Monitoring the management of information and records in an organisation is a shared responsibility between Archives New Zealand and each organisation.

2.1 Responsibilities of Archives New Zealand

Archives New Zealand is responsible for:

- monitoring compliance with the *Public Records Act 2005* (the Act), associated standards and codes of best practice
- reporting to the Minister and Parliament about the state of information and records management in the New Zealand public sector
- communicating requirements and timetables for monitoring activities
- providing advice and guidance on how organisations can monitor their own performance
- providing advice and guidance on how organisations can comply with requirements
- following up non-compliance or ineffective management.

2.2 Responsibilities of the organisation

The organisation is responsible for:

- measuring and monitoring the performance of its information and records management
- co-operating with Archives New Zealand in monitoring and reporting on compliance.

3 Monitoring within organisations

Organisations are responsible for measuring and monitoring the performance of their information and records management for planning and improvement purposes. They need to monitor for compliance with the Act, associated standards and codes of best practice.

Archives New Zealand may need to follow up with organisations on non-compliance or failure to effectively manage information and records. If so, an organisation may be asked to report on their monitoring activities and on the corrective actions that were undertaken as a result of monitoring.

3.1 Monitoring performance

Regularly monitoring information and records management not only ensures its continuing value to the organisation but it also maximises opportunities for continuous improvement.

Performance monitoring can assist organisations in:

- ensuring that information and records management practices are sufficient to support business processes
- improving service delivery and efficiencies
- improving processes and services
- identifying and managing risks
- reducing costs
- assessing how well resources have been used.

3.2 Monitoring compliance

An organisation's conformity and compliance with the Act, associated standards and codes of best practice, ensures that the organisation knows its obligations for information and records management. Conformity ensures that non-compliance issues are addressed. These are important aspects of the governance of any organisation.

Organisations can monitor their compliance by:

- assessing compliance against the requirements of standards issued by Archives New Zealand
- benchmarking against previous surveys or audit results to assess improvements or to identify issues of non-compliance
- undertaking a compliance assessment or audit using internal auditors or an external party to provide an independent assessment of the organisation's records management programme, practices and systems.

Organisations may consider using the services of a consultant, or internal or external auditors, to monitor compliance.

Documenting compliance monitoring activities is an important component in demonstrating the organisation's compliance with the Act, associated standards and codes of best practice.