

Document Management processes

Feb-22

Risk Context

Failure to adequately capture, store, archive, retrieve, provide or dispose of documentation. This includes:

- Contact lists.
- Procedural documents, personnel files, complaints.
- Applications, proposals or documents.
- Contracts.
- Forms or requests.

Potential causes include:

Spreadsheet/database/document corruption or loss	Outdated record keeping practices
Inadequate access and / or security levels	Lack of system/application knowledge
Inadequate Storage facilities (including climate control)	High workloads and time pressures
High Staff turnover	Standard Operating Policies not followed
Incompatible systems	Incomplete Authorisation Trails
Lack of awareness of the State Records Act	Lack of awareness of use of network drives and folders
Historical legacies	

Controls Assurance

Key Controls	Type	Date	Rating	Control Owner
All incoming documents are scanned and registered	Preventative	Daily	Effective	Admin
Regular reminders to staff to follow standard operating procedures	Preventative	Ongoing	Adequate	MGMT
Record-keeping Plan	Preventative	Oct-22	Adequate	DCEO
Records Management Policy / Processes / Manual	Preventative	Ongoing	Effective	Gov
Document / correspondence receipt & action process	Preventative	Ongoing	Effective	Admin
Document security (physical and electronic)	Preventative	Dec-21	Effective	DCEO
Archival process and secure archive storage room	Preventative	Dec-21	Adequate	DCEO
Electronic document management system	Preventative		Not Rated	
Document disaster recovery plan	Recovery	In Progress	Adequate	DCEO
Electronic records back up	Recovery	Dec-21	Adequate	DCEO
Incoming records weekly report	Detective		Not Rated	
Checks in place to look at network drives, folders and their growth	Detective		Not Rated	
Ongoing awareness training and education	Preventative	Jan-22	Effective	DCEO
Disposal and retention schedule.	Preventative	Jan-22	Effective	DCEO
Authority system	Preventative	Ongoing	Effective	DCEO
Information sheets	Preventative		Not Rated	
Controlled environment storage facility	Preventative		Not Rated	
E-mail archiving process	Preventative	Dec-21	Effective	DCEO

Overall Control Ratings: Adequate

Actions	Due Date	Responsibility	Status of Actions / Treatment
Create document disaster recovery plan	Dec-22	DCEO	working with IT to develop
Ongoing training towards record management	Ongoing	DCEO	training being completed

Consequence Category	Risk Ratings	Rating	Has the Risk Rating Changed since the last review?
Compliance / Reputation	Consequence:	Major (4)	N
	Likelihood:	Likely (4)	N
	Overall Risk Ratings:	High	Risk rating trend since last review

Indicators	Type	Benchmark	Result
Complaints relating to documentation	Lagging		
Number of documents not appropriately archived	Leading		
Number of documents not stored electronically	Leading		
Number of misplaced files	Lagging		
Time lost searching for documentation	Leading		

Comments	Comments