(Insert company name)

Information Management Plan

Note: This template has been developed as a guide for developing an information management plan. Further assistance can be provided by the Special Purpose Vehicle Unit, within the Department of Infrastructure and Planning.

Table of contents

1 Authority

The Special Purpose Vehicle (SPV) should establish, document, maintain and disseminate policies, procedures and practices for records management to ensure that its business need for evidence, accountability and information are met.

2 Framework

The SPV should define and document a framework for records management. The objective of the framework should be the creation and management of authentic, reliable and useable records that are capable of supporting business functions and activities for as long as they are required.

The framework should be derived from an analysis of business activities. It should define areas where legislation, regulations, standards and best practices have the greatest application in the creation of records connected to business activities.

3 Responsibilities and accountabilities

Outline the primary responsibilities and accountabilities for the delegation of authority.

3.1 Chief Executive Officer

The Chief Executive Officer should be responsible for the oversight of the design as well as the implementation and maintenance of records systems and their operations.

3.2 Senior Executive Managers

Senior Executive Managers should be responsible for supporting the application of records management policies throughout the organisation. Additionally, they should also ensure employees are properly trained with records management and systems operations.

3.3 Systems Administrators

Systems Administrators should be responsible for ensuring that all documentation is accurate, available and legible to personnel when required.

3.4 Staff

Staff are responsible for keeping accurate and complete records of their activities.

4 Characteristics of a record management system

Outline the characteristics of the record management system. It is important to note that this covers electronic and hard copies of documentation. This should include:

- Reliability – any record management system should be capable of continuous and regular operation in accordance with responsible procedures
- Integrity – control measures such as access, monitoring, user verification, authorised destruction and security should be implemented to prevent unauthorised access, destruction, alteration or removal of records. This should also be extended to staff email accounts
- Compliance – records management should comply with all requirements arising from current business, the regulatory environment and community expectations in which the organisation operates
- Comprehensiveness – records systems should cover the complete range of business activities for the organisation (or section of organisation)
- Systematic – record creation and maintenance practices should be systemised through the design and operation of both records systems and business systems

- Tracking – record management systems should contain complete and accurate representations of all transactions that occur in relation to a particular record
- Physical storage medium and location – appropriate storage environment and media, physical protective materials, handling procedures and storage systems should be considered when designing the record management system
- Conversion and migration – record management systems should be designed so that records will remain authentic, reliable and useable throughout any kind of system change, including format conversion, migration between hardware and operating systems or specific software applications, for the entire period of their retention
- Access, retrieval and use – record management systems should provide timely and efficient access to, and retrieval of, records needed in the continuing conduct of business and to satisfy related accountability requirements
- Retention and disposal – record management systems should be capable of facilitating and implementing decisions on the retention or disposal of records.

5 Controls

Outline the controls of the record management system. It is important to note that this covers electronic and hard copies of documentation. This should include:
- determining documents to be captured into the records system
- determining how long to retain records
- capturing records
- registration of the records
- classification (i.e. of business activities, systems, vocabulary controls, indexing, allocation of identifiers)
- storage and handling
- access
- tracking
- disposal
- documenting records management processes
- monitoring and auditing
- training.