

Guideline

Stakeholder Engagement PROS 10/10 G7

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1 Introduction

1.1 Public Record Office Victoria Standards

Under section 12 of the *Public Records Act 1973*, the Keeper of Public Records ('the Keeper') is responsible for the establishment of Standards for the efficient management of public records and for assisting Victorian government agencies to apply those Standards to records under their control.

Recordkeeping Standards issued by PROV reflect best practice methodology. This includes International Standards issued by the International Organisation for Standardisation (ISO) and Australian Standards (AS) issued by Standards Australia in addition to PROV research into current and future trends.

Heads of government agencies are responsible under section 13b of the *Public Records Act 1973* for carrying out, with the advice and assistance of the Keeper, a programme of efficient management of public records that is in accordance with all Standards issued by the Keeper.

In Victoria, a programme of records management is identified as consisting of the following components:

- A recordkeeping framework;
- Recordkeeping procedures, processes and practices;
- Records management systems and structures;
- Personnel and organisational structure; and
- Resources, including sufficient budget and facilities.

A programme of records management will cover all an agency's records in all formats, media and systems, including business systems.

1.2 Purpose

The purpose of this Guideline is to facilitate implementation of requirements 30 - 32 contained in the PROV *Strategic Management Specification* regarding the development, implementation and assessment of a stakeholder engagement model.

1.3 Scope

This Guideline applies to all Victorian public sector employees who are required to develop, implement or assess a stakeholder engagement model for records management.

For definitions of terms used within this Guideline, please refer to the Master Glossary.

2 Stakeholder Engagement: An Overview

Strategically planning records management across the agency requires considerable engagement with stakeholders. This is because of the position of records management within an agency, and the general decentralisation of recordkeeping. Everyone within an agency creates, manages, and makes decisions on records. Technology is continually evolving and impacting on how records are created, captured, stored, accessed, and maintained over time.

Records management is related in many ways to change management. It requires people to think and work differently to the way they are used to working. Stakeholder engagement provides the means to proactively seek stakeholder input and incorporate that input into agency planning processes. It enables differences in the way recordkeeping affects the different stakeholder groups to be identified and strategically addressed through effective, targeted, and ongoing communication.

Effective stakeholder engagement enables records managers to:

- Place records management on the strategic agenda of an agency;
- Compete with other agency portfolio priorities;
- Build records management champions with the influence and localised expertise to implement recordkeeping strategies in specific work units; and
- Increase the profile of records management across the agency.

2.1 What is Stakeholder Engagement?

Stakeholder engagement is ‘an ongoing process whereby entities build and maintain constructive relationships with stakeholders using a range of activities and approaches’.¹ Activities and approaches may include the following:

- Stakeholder identification and analysis;
- Stakeholder consultation;
- Negotiation and partnerships;
- Grievance management; and
- Stakeholder reporting.

2.2 What is a Stakeholder Engagement Model?²

A stakeholder engagement model is the set of processes, methods, and plans that enable agencies to engage with stakeholders in a strategic, continuous and ongoing manner. A stakeholder engagement model may contain the following:

¹ International Finance Corporation, *Stakeholder engagement: A good practice handbook for companies doing business in emerging markets*, International Finance Corporation, Washington DC, USA, 2007, pp. 11, 164.

² AccountAbility, *From Words to Action: The Stakeholder Engagement Manual: Volume 2: The Practitioner’s Handbook on Stakeholder Engagement*, AccountAbility, London UK, 2005.

- A communication or stakeholder engagement plan that identifies key stakeholder groups for recordkeeping (see Appendix 1 for suggested components of a stakeholder engagement plan);
- Strategies or approaches for engagement with the identified stakeholders; and
- Communication and reporting methods to enable the results of the engagement to be fed into improving recordkeeping across the agency.

The purpose of the model is to:

- Identify, assess and prioritise key stakeholder groups;
- Ensure that information gathered from the engagement process is fed into key documents, products and services;
- Monitor and revise the communication methods used so that they are more efficient and effective; and
- Promote the agency as being transparent and therefore accountable.

Some agencies may already have a stakeholder engagement model in place that can be used for records management purposes. Other agencies may need to develop one using the information contained within this Guideline. Additional tools, such as manuals and templates can be found on websites such as Accountability (<http://www.accountability.org.uk>)³

2.3 The Records Management Programme & Stakeholders

A stakeholder engagement model is one of the three components of an agency’s recordkeeping framework. The other two are:

- Records Management Policy⁴; and
- Records Management Strategy⁵.

The records management policy contains the responsibilities regarding recordkeeping across the agency and high level direction regarding records management.

The records management strategy aligns the purpose of records management with the strategic direction of the agency, and provides an action plan for achieving that purpose. The stakeholder engagement model should be aligned with the strategic direction provided in the records management strategy.

The remaining elements of the records management programme (as outlined in section 1.1) concern ongoing recordkeeping operations.

2.3.1 Benefits of stakeholder engagement to a records management programme

The benefits of stakeholder engagement to a records management programme are outlined in Table 1, below.

Programme Element	Benefit of Stakeholder Engagement
General	It identifies and addresses the current and future needs of recordkeeping

³ For example, see the AccountAbility website (<http://www.accountability.org.uk>) for a detailed standard, instruction manual, and set of templates all based around stakeholder engagement.

⁴ For more information regarding developing a Records Management Policy, see the PROV *Guideline 1: Records Management Policy*.

⁵ For more information regarding developing a records management strategy, see the PROV *Guideline 4: Records management Strategy*.

	<p>stakeholders within the agency</p> <p>It feeds into the continuous and ongoing learning of an agency regarding recordkeeping practice</p> <p>It builds mutually beneficial relationships between the records management unit and stakeholders</p> <p>It increases the transparency and therefore the accountability of the agency by including engagement with external stakeholders when discussing records management policy and practice</p> <p>It increases the effectiveness of agency practice regarding recordkeeping</p>
Records Management Strategy	<p>It enables validation of the content of the strategy</p> <p>It gains endorsement of the strategy from the executive of the agency</p> <p>It encourages business owners of related strategies, such as the Information and Communications Technology (ICT) Strategy, to align their strategy with the records management strategy</p> <p>It promotes cooperation with inter-agency and cross jurisdictional groups regarding inclusion of recordkeeping requirements into key projects</p> <p>It assists with building key alliances across the agency to ensure that recordkeeping requirements are included in all agency projects</p> <p>It helps management to understand why resources requested to implement the strategy, and action audit requirements, are needed and</p> <p>It increases understanding between specific business units and the records management unit regarding recordkeeping</p>
Records Management Policy	<p>It enables validation of the content of the policy</p> <p>It gains endorsement of the policy from the executive of the agency</p> <p>It encourages business unit management to ensure that their staff members comply with the policy (for example, that they attend training, use the right systems, and follow the correct procedures)</p> <p>It assists with the building of key alliances across the agency to ensure that the records management policy and other policies are in alignment regarding recordkeeping requirements</p>
Records Management Operations	<p>It promotes accepted recordkeeping practice across the agency</p> <p>It encourages use of recordkeeping systems</p> <p>It assists with the review of the records management programme</p> <p>It encourages discussion on current and possible future recordkeeping practice across the agency</p>

<p>It enables understanding of the different perspectives and skill levels regarding recordkeeping across the agency to be reached by the records management unit (procedures, systems and training can then be tailored to meet specific needs where required)</p> <p>It assists understanding between the information technology unit and the records management unit to be reached so that recordkeeping requirements are adequately addressed</p> <p>It enables discussion across the agency to identify and develop strategies regarding records in systems that are not integrated with the EDRMS⁶</p> <p>It promotes the value of good recordkeeping practice to effective use of the EDRMS across the agency</p> <p>It encourages support of recordkeeping projects across the agency, such as sentencing, scanning and digitisation, and secondary storage</p> <p>It enables the background information necessary to undertaking functional analysis to be completed and reflect actual practice</p>
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Table 1: Benefits of Stakeholder Engagement to a Records Management Programme

⁶ EDRMS = Electronic Document / Records Management System

3 Stakeholder Identification & Analysis

Stakeholder identification and analysis is a process by which key stakeholder groups are identified, and prioritised according to their relevance, influence and dependence regarding recordkeeping and the agency.

This section relates to requirement 30 of the *Strategic Management Specification*.

3.1 What is a Stakeholder Group?

Strategically planning stakeholder engagement requires focusing on stakeholder groups rather than individual stakeholders. A stakeholder group is a collection of individual stakeholders who have similar needs and concerns. With stakeholder identification, individual stakeholders are placed in groups according to type. For example, individuals from the information technology area within the agency can be grouped together as one stakeholder group, with a specific set of needs and concerns regarding recordkeeping. This enables the records management unit to plan their future engagement with stakeholders as the needs of the group will change less often than the needs of an individual.

There may be some situations where stakeholders need to be identified at an individual level due to the authority or influence a specific person holds.

3.1.1 Internal and external stakeholder groups

Whether the stakeholder group to be engaged with is internal or external depends primarily on the context involved.

Records managers mainly engage with internal stakeholder groups. This is due to the need for the recordkeeping framework to align with the agency strategic direction, and the need for records management to cover all records in all areas of the agency. Tactics, such as negotiation and partnerships, become very important to records managers when engaging with internal stakeholder groups. Negotiation and partnerships help to build long-term relationships across functions and operational areas of the agency with key stakeholder groups.

It is important to remember that records managers will also need to engage with external stakeholder groups. How often and which external stakeholder groups will depend on the specific context of the agency, and the situation. Specific tasks require interaction with other agencies, non-government organisations, or community groups. For example, Freedom of Information requests have a record management element and involve stakeholder groups that are external to the agency. Disposal is another example, as the development of retention and disposal authorities requires interaction with Public Record Office Victoria, the Public Records Advisory Council, and may involve community groups or consultancy firms. Engagement methods with external stakeholder groups will tend to be focused around consultation.

3.2 Identification Criteria & Methods

The criteria⁷ provided in Table 2 (below) may help with identifying key stakeholder groups. Criteria enable different types of stakeholder groups to be considered in relation to how they may connect with the records management unit or agency.

Criteria	Description
Responsibility	Stakeholders the agency or records management unit is formally responsible for
Influence	Stakeholders with the power to influence the agency or the records management unit
Proximity	Stakeholders the agency or the records management unit engages with regularly
Dependency	Stakeholders who are directly or indirectly dependant on the agency or the records management unit
Representation	Stakeholders who represent the interests of a specific group or section
Policy and Strategic Intent	Stakeholders the agency or records management unit addresses through policies and charters
Authorising Environment	Stakeholders who mandate, give permission to, or resource the agency or the records management unit

Table 2: Stakeholder Identification Criteria

When identifying external stakeholder groups, consider how the criteria may apply to the agency as a whole. When identifying internal stakeholder groups, consider how the criteria may apply to the records management unit.

Example: Records Management Strategy Implementation

For example, the records management unit may be rolling out a records management strategy. To identify which stakeholder groups should be engaged with, the criteria listed in table 2 (above) would be used as follows:

- Stakeholders for **responsibility** would include those required to formally comply with the strategy.
- Stakeholders for **influence** would include sections of the agency whose support will be required for the strategy to be successful, such as information technology unit.
- Stakeholders for **proximity** include those already targeted by normal communications from the records management unit.
- Stakeholders for **dependence** would include those who require the records management strategy to be in place before they can commence or assign work.

⁷ Taken from the AccountAbility, *AA1000 Stakeholder engagement standard exposure draft*, AccountAbility, London, UK, 2005 pp 31-33.

- Stakeholders for **representation** would include the managers or spokespeople from specific groups within the agency, such as the Occupational Health and Safety committee, whose support may be needed to champion the strategy. It may also include external stakeholders, such as Privacy Victoria.
- Stakeholders for **policy and strategic intent** would include those who are responsible for the management of policies and strategies that need to align with the recordkeeping requirements of the strategy. External stakeholders may need to be considered when the agency is to align with a whole of Victorian Government directive, or parent Department directive.
- Stakeholders for **authorising environment** would include the executive and any others who are required to endorse and resource the strategy. This may include external sources of funding, such as the Expenditure Review Committee of Cabinet.

3.2.1 Methods for identifying and assessing stakeholders

Methods for identifying stakeholder groups are outlined in Table 3 (below).⁸ Please note that these methods may be used for engaging with either internal or external stakeholder groups.

Method	Description
Stakeholder Mapping	Involves first using the identification criteria to suggest specific stakeholder groups and then linking the identified groups to the agency according to influence and dependency
Stakeholder Classification	Places stakeholders into interest, subject, or function based groups and subgroups. The groupings chosen will be of relevance to the agency concerned and consider records management
Brainstorming	Involves using a cross function or multi-business area group to identify and group stakeholders. This may be combined with stakeholder mapping or classification
Self-identification	Encourages stakeholders to approach the agency. This may involve using the agency's website and other public communication methods to promote engagement and request interested parties to contact the agency

Table 3: Stakeholder Identification & Assessment Methods

The methods used for identifying and assessing stakeholders will depend on the context involved. For example, if there is a project team in charge of the implementation of an electronic document and records management system (EDRMS), a brainstorming session in combination with stakeholder mapping method may be preferred. This will enable the team to assess stakeholders in relation to their influence and dependency on the EDRMS. Provision of records management training may use the self-identification method by advertising the training session and then seeing who is interested in attending it.

3.2.2 Identifying internal stakeholder groups

When identifying internal stakeholder groups, consider which areas of your agency are:

- Required to endorse or otherwise authorise records management products and services, such as the records management policy or strategy;

⁸ AccountAbility, AA1000 Stakeholder Engagement Standard Exposure Draft, AccountAbility, London, UK, 2005 pp 34

- Required to resource records management projects, like the strategy implementation;
- Responsible for the strategies that the records management strategy⁹ is to align with;
- Responsible for the policies that the records management policy¹⁰ is to align with;
- Responsible for supervising the management of outsourced activities¹¹;
- Responsible for management of systems that contain records;
- Responsible for maintaining the systems that manage or contain records;
- Managing projects, services, or products that have a recordkeeping impact;
- Responsible for the strategic direction of the agency; or
- Affected by records management and how are they affected.

Asking these sorts of questions will help you to identify and group stakeholders according to their relevance to records management and their place in the agency's organisational structure.

Example: Records Management Policy Development

For example, when developing and implementing a records management policy, stakeholders could involve areas of the agency that:

- Manage policies that may need to align with the records management policy (such as the information technology policy, the risk management policy, and others);
- Will need to comply with the records management policy;
- Are required to endorse the records management policy;
- Are needed to champion the policy across the agency;
- May be required to participate in the assessment of the policy;
- May be needed to train others in the implementation of the records management policy; or
- May assist with the successful implementation of the policy.

3.2.3 Identifying external stakeholder groups

When identifying external stakeholder groups, consider which sectors of the community or government bodies (external to the agency):

- Are undertaking outsourced activities¹² on behalf of the agency;
- Are involved with cross-jurisdictional or interagency projects with the agency;
- Will be directly affected by the agency's records and / or management of those records?
- Have a direct impact on the agency's records and / or management of those records?
- Will be indirectly affected by the agency's records and / or management of those records?
- Have an indirect impact on the agency's records and / or management of those records?
- Asking these sorts of questions will help you to identify and group stakeholders according to the type of group, their influence on the agency's records, and their dependency on the agency's records.

Example: Retention & Disposal Authority Development

For example, when undertaking a project regarding the development of an agency-specific Retention and Disposal Authority (RDA), stakeholders could involve external groups that:

- Are involved with the development of the RDA, such as the Public Record Office Victoria which provides templates and guidance;

⁹ For further information on records management strategy see PROV *Guideline 5: Records Management Strategy*.

¹⁰ For further information on records management policy see PROV *Guideline 1: Records Management Policy*.

¹¹ For further information on records of outsourced activities see PROV *Guideline 2: Managing Records of Outsourced Activity*.

¹² For information on records of outsourced activity see PROV *Guideline 2: Records of Outsourced Activity*.

- Are required to endorse the RDA, such as the Public Records Advisory Council (PRAC) and the Keeper of Public Records;
- Share similar functions and activities to those covered by the RDA;
- Manage activities the agency has outsourced, the records of which will require appropriate disposal by the agency;
- Share systems, or projects with the agency, such as shared industry databases; and
- May need or want to access the records in future, such as historians, researchers, or individuals and their family members.

3.2.4 Common records management stakeholder groups

Stakeholder groups will change depending on circumstances, and on the context of the agency.

Tables 4 and 5 (below) provide examples of some potential stakeholder groups with possible relevance to records management. Table 4 is arranged in accordance with the identification criteria specified in section 3.2 (above). Table 5 is arranged in accordance with key records management projects.

An alphabetical table of records management stakeholders, with suggested objectives for engagement with them, is located in Appendix 3.

Criteria	Possible Internal Stakeholder Groups	Possible External Stakeholder Groups
Responsibility	Employees of the agency Freedom of Information Unit Information Privacy Unit Recordkeeping system users	General public [Depends on an agency's legislation]
Influence	The head of a government agency The agency executive Leadership team Internal audit committee Chief information officer Information technology director	Minister of Parliament State Coordination and Management Council The media
Proximity	Information technology unit Risk management unit Legal services unit Contract management unit Human resources unit Security unit	Agency clients Outsourced activity service providers
Dependency	Employees of the agency Legal services team Registry Office Training participants	General public [Depends on an agency's functions]
Representation	Occupational Health and Safety Committee Environmental Management Committee	Koori Heritage Trust Royal Historical Society Victorian Genealogical Society Records Management Association of Australasia
Policy and Strategic Intent	Employees of the agency Risk management unit Security management unit	Commonwealth Government agencies Parent Departments

	Information / knowledge management unit Training unit Volunteers	
Authorising Environment	The head of a government agency The executive The leadership team	Victorian Auditor General's Office Ombudsman Victoria Office of the Victorian Privacy Commissioner Public Record Office Victoria Expenditure Review Committee State Coordination and Management Council

Table 4: Common Records Management Stakeholder Groups: Identification Criteria

Project	Possible Internal Stakeholder Groups	Possible External Stakeholder Groups
EDRMS ¹³ or ECMS ¹⁴ Implementation or Update	Head of a government agency Agency executive Records management unit Information technology unit Security unit Risk management unit Administration unit Business unit managers Training unit Employees of the agency	Software vendor Consultant / service provider
Sentencing / RDA ¹⁵ Development	Records management unit Head of a government agency Business unit managers Agency executive Legal services unit Supervisor or manager of outsourced activities	Public Records Advisory Council Public Record Office Victoria Consultant / service provider Minister for the agency Service provider for outsourced activities
BCS ¹⁶ implementation	Agency executive Records management unit Information technology unit Administration unit Training unit Business unit managers Head of a government agency Employees of the agency BCS champions	Consultant / service provider Software vendor
Scanning / Digitisation	Agency executive Registry office	Software vendor Contractor / service provider

¹³ EDRMS = Electronic Document and Records Management System.

¹⁴ ECMS = Enterprise Content Management System

¹⁵ RDA = Retention and Disposal Authority.

¹⁶ BCS = Business Classification Scheme.

	Records management unit Agency executive Information technology unit Freedom of Information manager Head of a government agency Information Privacy manager Business unit managers Risk management unit	
Secondary Storage	Records management unit Agency executive Business unit managers Risk management unit Head of a government agency Freedom of information manager Security unit	Public Record Office Victoria APROSS ¹⁷ Contractor / service provider

Table 5: Common Records Management Stakeholder Groups: Records Management Project

3.3 What information should be captured?

Building up a profile of stakeholder groups can be a useful tool for the records management team for ongoing communications¹⁸. This will help when developing a communications plan for a specific records management project (such as the implementation or update of an EDRMS). Stakeholder groups, their interests, and their preferred or most effective communication methods, will have already been identified and prioritised. See Appendix 2 for suggested stakeholder profile components.

3.3.1 Levels of engagement

Levels of engagement¹⁹ depend on the type of relationship that exists, and the kind of information to be communicated. Levels of engagement are outlined in Table 5 (below).

Level of Engagement	Description
No planned engagement	Occurs when the stakeholder group has not been identified as a key stakeholder or when the issue concerned has not been identified as being of relevance to the stakeholder group
Awareness of what the stakeholders' concerns are	Comes from scanning relevant information sources in order to be aware of stakeholder concerns rather than directly contacting them
Keeping stakeholders informed	Involves actively providing relevant and up to date information to identified stakeholders

¹⁷ APROSS = Approved Public Record Office Storage Supplier

¹⁸ It is important to consider relevant legislation, such as the Information Privacy Act 2000, when collecting information to protect the agency from potential compliance breaches.

¹⁹ Based on AccountAbility, *From Words to Action: The Stakeholder Engagement Manual: Volume 2: The Practitioner's Handbook on Stakeholder Engagement*, AccountAbility, London UK, 2005, p 97.

Consultation	Occurs when the opinions and advice of stakeholders is obtained as part of the development or review process for products, services, or other outputs.
Partnership and collaboration	Concerns working together with stakeholders to achieve common goals and mutual benefits
Listening to stakeholders concerns	Involves enabling stakeholders to raise concerns or issues that they have when they have them, addressing them, and informing stakeholders of any resulting actions

Table 5: Levels of Engagement

4 Stakeholder Consultation

This section relates to requirement 31 of the *Strategic Management Specification*.

4.1 Planning Stakeholder Consultation

Planning stakeholder consultation provides a number of benefits, including the following:

- Communication is more effective and efficient;
- Stakeholders are able to directly feed their issues into agency policies and strategies; and
- Relationships are more positive as they are inclusive and proactive.

Two types of plans that can be used for communications with stakeholders are:

- Communication Plans; and
- Stakeholder Engagement Plans.

Communication plans document the following:

- Key stakeholder groups;
- Contact details;
- Communication methods;
- What type of information is to be communicated; and
- Any time frames involved.

Stakeholder engagement plans document the following:

- The objectives of the engagement;
- The processes that will be used;
- The communication methods;
- How the information gathered will be used by the agency; and
- How the results of the engagement will be reported back to stakeholders.

See Appendix 1 for suggested components of a stakeholder engagement plan.

4.2 Identifying Effective Communication Methods

Communication methods are assessed to determine the best method to reach each of the stakeholder groups being engaged. Assessment of communication methods will include determining the best ways of communicating specific types of information to each stakeholder group. Multiple methods of communication may be needed for each group, depending on what information is being relayed, how much detail it will need to include, and what provisions for feedback are required.

Assessing communication methods involves the following:

- Determining the level of engagement required for specific audiences and situations;
- Checking the stakeholder profile (or by use of other means) to determine the method of communication preferred by the stakeholder groups;
- Determining the information required from the communication;
- Checking that the method chosen is practical and applicable considering the resources available and stakeholder group concerned; and
- Ensuring that the chosen method fits within the agency’s policies and legislative environment.

Communication methods can involve information travelling one-way or two-ways.

One-way communication methods focus on sending information out with no provision for receiving feedback on the communication sent. Common one-way communication methods include instruction manuals, email announcements, newsletters, and so on.

Two-way communication methods focus on an exchange of information between two or more parties. See Table 6 (section 4.3 below) for some examples of two-way communication methods.

Communication Method	Description	Best Use	Suggested Stakeholder Groups
Request for Written Feedback	A formal request for written comments about a particular product or service This is issued by the agency, most commonly by email or the agency web page, but can also be by letter There is usually a date for when written submissions must be in by Sometimes the structure of the comments is also formalised by use of feedback forms Results received are incorporated into the product or service update	When feedback is required on a records management document, such as a policy, strategy, process, or procedure document	Those who are required to endorse key records management documents, such as project boards, executive committees, governance committees, and the head of the government agency Those who will be affected by the requirements of the completed document, such as the managers of strategies and policies that are to align with the records management requirements of the document Those who will be required to follow the directives of the document, such as the employees of the agency

Meeting	A meeting between two or more groups The meeting is usually formalised, with an agenda, and minutes to ensure that feedback is recorded and that the conversation is structured Meetings are usually held face-to-face, but can be via telephone (teleconference) or other telecommunications link	When information related to records management projects is sought, or when discussion of records management issues and possible solutions to mitigate them is required	Those who can provide information on the functions, activities and transactions undertaken by the agency (this will help with functional analysis) Those who can provide information about specific business systems that contain records, what records they contain, and how they are used Those who formally discuss and make decisions on records management issues, such as governance boards, project boards, the executive or leadership team
Online Forum	An online space, such as a blog, wiki, or forum page, where stakeholders can log in and place comments The comments posted tend to be less formal and driven by the stakeholders	To encourage open discussion about a product or service that has been implemented or is in the process of being developed and implemented	Those with an interest in the records management practice of the agency, such as agency clients, and the general public Those not from the agency who are working with the records management unit or elsewhere in the agency and need a common work space, such as interagency project workers, and cross jurisdictional project workers
Focus Group	A group made up of representatives from the key stakeholder groups Comments made by the focus group are accepted as being representative of the stakeholder groups as a whole The purpose of the group is to provide feedback on a system, product or service Formal agenda and minutes are recorded, and a report may be made	To review current records management practice, products, systems, or services	Those whose policies and strategies are to align with the records management policy and strategy to discuss future updates Those who are responsible for various business unit specific business systems or recordkeeping systems to discuss and update accepted practice regarding records management for the systems Those who are championing the records management programme across the agency to discuss issues and make recommendations for future revisions of the programme
Advisory Group	A group made up of representatives from the key stakeholder groups who each have specific expertise in a particular	To provide input into the development of records management products and services, including the records	Those with knowledge of elements related to records management, such as information technology, legal services, risk management, or

	area or on a particular subject The purpose of the group is to advise the agency regarding the development or review of a product or service Formal agenda and minutes are recorded, and a report may be made	management strategy, records management policy, the development of a business classification scheme, and other records management projects	security management Those who regularly champion the use key records management products and systems, such as business unit managers, records management champions, or knowledge management champions
Joint Stakeholder Committee	A formal committee or other board made up of stakeholders who meet regularly to discuss mutual issues and interests Formal agenda and minutes are recorded	To discuss mutual issues relating to recordkeeping practice and continuous and ongoing improvements to records management policy and practice	Those with a governance role or strategic management role with regard to records management, such as governance boards, the executive, and leadership teams Those with a mutual and common interest in an aspect of records management, such as EDRMS users groups, strategic planning groups, and policy development groups
Workshop	A meeting designed to involve the stakeholders directly in the development of a service or product Workshops enable issues to be identified and resolutions proposed in the meeting itself for the satisfaction of the group Formal agenda and minutes are recorded, a report may be made, and the results of the workshop are directly incorporated into the product or service being workshopped	To develop records management products and services, such as records management strategy, records management policy, retention and disposal authority, or business classification scheme	Those with knowledge of elements related to records management, such as information technology, legal services, risk management, or security management Those who regularly champion the use key records management products and systems, such as business unit managers, records management champions, or knowledge management champions Those who regularly use the system, product, or service under review Those who maintain the systems used to capture or manage the product or system under review
Survey	Formal and structured questions designed to obtain specific feedback about a service or product from stakeholders individually Survey results can be collated for a report that can be supplied to stakeholders	To obtain feedback on records management training, to feed into reviews of the implementation of key records management products such as the records management policy or strategy, and to determine	Those who regularly perform records management or recordkeeping related activities Those who receive records management or recordkeeping training Those who were involved in the implementation of key records

	satisfaction with the level of service provided by records management team	management products Those who maintain systems that capture or maintain records Those who use systems which capture or maintain records
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Table 7: Common Two-Way Communication Methods

4.3 Maintaining Stakeholder Relations

Stakeholder engagement is about maintaining relations with stakeholders over time. The results of communication efforts in the past will reflect on future communications. If stakeholders have had positive experiences regarding providing feedback, or raising concerns, they will be more likely to raise them in future. Negative experiences will discourage future contributions.

Maintaining stakeholder relations means establishing regular lines of contact that encourage two-way communication to occur.

Records managers will primarily use negotiation and partnerships when building and maintaining long-term relationships especially with internal stakeholder groups. This is covered in more detail in section 5. In most cases, the records management unit itself will have limited influence and power within the agency. In order to achieve successful strategic alignment and programme implementation, the records managers will need to ensure that they actively pursue relationships with other key areas of the agency. Contacts in other agencies, across government, or in community or lobby groups may also prove to be beneficial.

It is important to provide stakeholder groups with the means to initiate contact with the records management unit. Stakeholder groups are more likely to participate in future records management projects if they perceive that their issues are being heard and acted upon. There are several methods that can be used to do this, which are discussed in more detail in section 6. They include: a grievance or complaints management process; a records management committee or board made up of stakeholder group representatives; an open door policy, and a records management forum.

Building alliances will bring with it additional demands on the records manager and records management unit. This may include the following expectations:

- Participation on interagency committees or boards, or professional bodies;
- Provision of feedback on the strategies and policies of other areas;
- Consideration of the strategic objectives of other stakeholder groups when developing records management strategies and policies, or
- Participation in reviews or discussions initiated by other stakeholder groups.

Expectations, such as those described above, bring with them demands on the time, resources, and energy of the records manager and records management unit. Therefore, they will also have an impact on the time and resources that records managers may commit to records management projects.

5 Negotiations & Partnerships

There will always be stakeholder groups that need to be encouraged to engage. Records managers will need to use their negotiation skills regularly in order to achieve key goals, such as strategic alignment of records management with other areas of the agency.

This section relates to requirement 31 of the *Strategic Management Specification*.

5.1 Negotiation & Partnerships

5.1.1 Negotiation

The skills required for building key alliances are based around negotiation. Focus must be kept on long-term goals, and building lasting relationships. When discussing records management or recordkeeping objectives, base discussions around the benefits for the stakeholder concerned rather than for the records management team. Take the time to understand the perspective of the stakeholder concerned. Once the stakeholder's perspective is known, steps can be taken to bring recordkeeping into conversations in ways that meet their perspective. Table 8 (below) provides some examples of situations and stakeholder groups that the records management unit may negotiate with.

Task	Negotiate with	Reason
Records management policy development	Risk Management Unit	To ensure records management policy and risk management policy align
Business system review	Information Technology Unit	To review the business systems for recordkeeping functionality and to discuss options
Business classification scheme development and implementation	Business Unit Managers	To provide input into classification to be used and to champion the implementation
Records management strategy development and implementation	The Executive	To ensure support and resources for the records management strategy implementation

Table 8: Sample Records Management Negotiation Stakeholder Groups

5.1.2 Partnerships

Working in partnership with other stakeholder groups provides an opportunity to take advantage of different work practices and thinking to achieve a common goal. This helps with building mutual understanding. Be prepared to push the records management agenda, but be aware that other stakeholder groups will have their own agendas. Take the time to note what these are as partnerships will involve a level of compromise. Understanding another’s agenda will help with the identification of common objectives, areas that require specialisation or expertise best provided by a particular group, and potential issues or clashes that you may not have been aware of. Table 9 (below) provides some examples of partnerships that records managers may form.

Task	Partnership with	Reason
Development and implementation of an electronic document or records management system or enterprise content system	Information Technology Unit	To ensure that functionality is appropriate for records management
Development and endorsement of an agency-specific retention and disposal authority	Public Record Office Victoria	To ensure that the analysis conducted is documented appropriately
Establishing the records management context	Legal Services Unit	To ensure that the implications of legislation and regulations related to recordkeeping are understood correctly
Audit of business units for recordkeeping practice	Internal Audit Unit	To ensure tools exist that enable an audit of the recordkeeping practices of individual business units against the requirements of the records management programme

Table 9: Sample Records Management Participation Stakeholder Groups

5.2 Building and Maintaining Key Alliances

For records management to be effectively taken up by the entire agency, a number of key alliances are needed. The purpose for building alliances is to engage key stakeholders in putting recordkeeping requirements into relevant strategies, policies, processes and practices. Alliance building is dependant on the personalities of the people involved. Informal communication are more effective than formal ones in such an environment due to the place records management may have within an agency (for internal stakeholders), or due to the different perspectives (for external stakeholders). Informal communications enable mutual understanding to occur, and encourage an equal and open environment for discussion.

Building strong alliances takes time as understanding and trust must be gained on both sides. Resistance to different ways of doing or thinking about things is common, and can help to provide further information on what the actual issues are. For example, the information technology team may be in charge of technology that cannot function in the way that a records manager may wish due to the software or hardware involved. If this is the problem, then finding a solution will need both the records management team and the information technology team to work together.

Some tactics that may help when building key alliances are as follows:

- Regular catch up meetings to keep the lines of communication open, and to share information on current work tasks;
- Adding a brief records management segment to staff meetings so that people are aware of what the records management team is doing and why;
- Asking for the records management team to be included in cross team strategic planning discussions;
- Coffee or lunch meetings with key people to informally chat about recordkeeping and their area of work;
- Reading any documents provided by the stakeholder group for circulation and taking the time to provide feedback (if it is needed);
- Sending key records management documents to the stakeholder concerned with a request for their feedback;
- Taking the time to find out what the stakeholder's issues are and how records management can help them with the issues;
- Having an open mind, and a willingness to engage; and
- Inviting key stakeholders to records management meetings.

Some stakeholders will not want to engage with records management, and will therefore be difficult to reach. This does not mean that you should not try. Just be aware that building an alliance with a difficult to reach stakeholder will take time and effort for it to be successful.

A lot of effort goes into building up an alliance. Continuing with the engagement encourages the trust developed to progress, which can lead to increased collaboration and understanding.

Maintaining an alliance may involve:

- A regular informal chat to keep in touch;
- Publicly promoting joint successes with clear acknowledgement of their input;
- Keeping the stakeholder 'in the loop' by circulating relevant information to them, and requesting they do the same; or
- Including the stakeholder in strategic planning discussions that may be of relevance to their area, and requesting that they provide you with the same courtesy.

The important thing is to remain in contact in a manner that enables either party concerned to initiate a conversation. Mutual understanding and trust are essentially what you are maintaining by keeping the lines of communication open.

Table 10 (below) provides some examples of common alliances that records managers may need with key stakeholder groups, along with suggested reasons for the alliance and tactics that may help.

Stakeholder Group	Reason	Tactic
Information Technology Unit	To provide consistency regarding management of electronic and paper based records	Informal catch up Invitation to participate in the development of recordkeeping products and services
Risk Management Unit	To ensure that the risk management policy and records management policy are aligned To ensure that the risk management strategy includes recordkeeping requirements	Participation in risk management steering committee Informal catch up Invitation to participate in the development of recordkeeping products and services
Legal Services Unit	To review recordkeeping implications of legislation and regulations	Informal catch up Invitation to records management meetings
Chief Information Officer	To ensure consistency regarding management of information and records	Informal catch up Invitation to records management meetings Invitation to participate in the development of recordkeeping products and services
Internal Audit Unit	To audit agency recordkeeping practice against the records management programme	Informal catch up Invitation to participate in the development of recordkeeping products and service
Financial Services Unit	To ensure financial management systems include recordkeeping functionality or processes	Informal catch up Invitation to records management meetings
Human Resources Unit	To ensure human resource management systems include recordkeeping functionality or processes	Informal catch up Invitation to records management meetings

Table 10: Common Records Management Alliances

6 Enabling Stakeholders

A process that enables stakeholders to initiate contact with the records management unit is essential for stakeholder engagement. For communication to be two-way it must be possible for either side (that is, either the records manager or the stakeholder group) to initiate communications.

This section relates to *Strategic Management Specification* requirement 31.

6.1 Methods for enabling stakeholder groups

Methods for enabling stakeholder groups to initiate contact include the following:

- Grievance or complaints management;
- Records management steering committee or project board;
- Open door policy; and
- Records Management Forum.

The benefits and issues with each are described in sections 6.2 – 6.4, below.

6.2 Grievance or Complaints Management

Whilst a grievance or complaints management process may appear to be a negative way of initiating contact, it is a method that is commonly used for stakeholder engagement models. It provides a transparent and accountable way for issues to be raised and addressed by a governing body or committee.

6.2.1 Grievance management process

Grievance management should align with the objectives of the records management strategy, and be incorporated within the directives of the records management policy. Criteria for determining the priority of the grievance should be developed so that they are in line with risk management and strategic objectives regarding recordkeeping.

The grievance management process may well involve the following steps:

- Step One: Initiate grievance by completion of the grievance form.
- Step Two: Submission of the completed grievance form to the specified contact.
- Step Three: The submission is raised by the contact at the next grievance review body meeting for discussion and to determine action.
- Step Four: The grievance review body makes its decision regarding action to be taken, which is recorded in the minutes of the meeting.
- Step Five: The grievance and resulting action is incorporated into work processes.
- Step Six: The contact informs the stakeholder of the action to be taken and why.
- Step Seven: The stakeholder is provided with the opportunity to appeal the decision, if they do not agree with it.

6.2.2 Benefits of a grievance management process

The benefits for records managers of using a grievance or complaints management process include the following:

- Stakeholders can raise issues with the records management programme that the records manager may not have been aware of;
- Stakeholders are able to initiate contact with the records management unit, and are more likely to be involved with the records management programme; and
- It promotes the records management unit as wanting to hear stakeholder's opinions.

Having a formalised mechanism in place for raising a grievance enables the stakeholder to take action. It also provides structure to how the grievances are made so that they can be incorporated into feedback and reporting processes. This may include a review of the grievance and decisions on action to be taken by a committee, board, or other formal body.

6.2.3 Issues with a grievance management process

Issues with a grievance management process for stakeholders to engage with the records management unit include the following:

- A grievance management process promotes the idea that there will be problems; and
- Grievance management is associated with human resources, and formal complaints being recorded against individuals.

6.3 Records Management Steering Committee or Project Board

A records management steering committee or project board are a group made of representatives from key stakeholder groups. The purpose of the committee is to make decisions regarding the implementation of the records management programme across the agency. Although the committee may include external stakeholder groups, it is more likely to be made of internal stakeholder group representatives. The purpose of a project board is to make decisions regarding the implementation of a records management project. The project board may include external stakeholder groups, such as vendor representatives or consultants, but are usually made up of internal stakeholders.

As a steering committee or project board, the group is part of the governance structure of the records management programme. Minutes of the meetings are recorded. Stakeholders may raise issues for discussion by the group through their representative on the steering committee or project board. Issues are discussed, and a decision agreed upon.

6.3.1 Benefits of a records management steering committee

The benefits of having a records management steering committee include the following:

- Recordkeeping issues are raised and discussed in an agency-wide forum;
- Alliances between records management unit and key stakeholder groups can be formed through the committee or board; and
- Stakeholders are able to raise issues through the steering committee or project board in the knowledge that the issues will be recorded and reported on through the formal minutes.

6.3.2 Issues with a records management steering committee

The issues with a records management steering committee or project board are as follows:

- Stakeholders may not trust that their issues are being represented faithfully to the steering committee or project board;
- Stakeholders may not have a representative on the committee or board;
- The records management unit may feel undermined by the committee or board if key decisions regarding the records management programme are made by the committee or board and not by the records management unit; and
- Unless measures are taken to implement the decisions made by the committee or board, the issues raised will not be addressed (this will undermine the effectiveness of the committee or board).

6.4 Open Door Policy

An open door policy is primarily an internal mechanism that promotes the availability of the records management unit to discuss issues that stakeholders may have regarding the records management programme.

6.4.1 Benefits of an open door policy

The benefits of an open door policy for records management are as follows:

- Issues can be raised with the records management unit as they occur;
- Implications for addressing the issues raised can be discussed at the same time; and
- Issues may be raised and addressed formally or informally, depending on the circumstances.

6.4.2 Issues with an open door policy

The issues with an open door policy are as follows:

- By itself, it does not enable external stakeholder groups to raise records management concerns;
- The personality of the individuals concerned may influence whether or not the open door policy is used; and
- The discussion and its proposed resolution may not be formally recorded.

6.5 Records Management Forum

A records management forum is a space where records management issues may be discussed between stakeholders as well as with the records management unit. The forum may be an online space, such as a wiki page, or it may be a regular meeting. The purpose of the forum is to discuss issues and needs regarding recordkeeping in a neutral space, with others who may be having similar issues or have similar needs. The records management unit may be formally represented in the forum. The forum will be driven by the stakeholders, and not the records management unit.

6.5.1 Benefits of a records management forum

Stakeholders can raise and discuss recordkeeping issues amongst themselves to reach mutually satisfying conclusions;

- Stakeholders can become more aware of common recordkeeping issues and solutions, including possibilities arising from correct use of the records management programme; and

- It promotes discussion of recordkeeping issues and their solutions by stakeholders from different areas of the agency and externally. As a result, stakeholders may find that they have similar needs that can be addressed by records management solutions, and be more likely to put recordkeeping requirements in their policies and strategies.

6.5.2 Issues with a records management forum

The forum will only be effective if stakeholders feel comfortable using it;

- The solutions that the forum comes up with may not fit with the strategic records management objectives of the agency; and
- Stakeholders participating in the forum may become disillusioned and stop using it if they do not see any changes or innovations arising from it.

7 Stakeholder Reporting

Stakeholder reporting aids an agency's continuous improvement process. It involves using the information received from the engagement process for the following purposes:

- Planning further activities;
- Ensuring agency learning;
- Reviewing how effective the communication methods were for a particular stakeholder group; and
- Assuring the stakeholder groups that you were listening to them and are involving them in determining strategic direction and practice within the agency.

This section relates to requirement 31 of the *Strategic Management Specification*.

7.1 Incorporating Results into Operations

Communication methods used when engaging with stakeholders should include provisions for incorporating relevant information received into recordkeeping work processes. The information received from the engagement process will generally determine how it might impact on records management, and therefore which work processes are of most relevance to it.

Information gathered from stakeholder engagement might directly impact on work processes. For example it may be comments on a particular document undergoing stakeholder review. A feedback procedure can be used to guide how this information is to be recorded and incorporated in the next draft.

Information gathered from stakeholder engagement might also impact on work processes indirectly. For example, a coffee meeting with a stakeholder may reveal that there is a recordkeeping issue regarding the capture of agency information in a business system with no records management functionality. It may not be possible to build records management functionality into the system, or it may be limited and costly to do. A work around solution involving procedures specific to the system in question may be the most practical. As this is not an existing work task, the resources required to develop the procedure in partnership with the stakeholders using or maintaining the business system will need to be obtained. This may be captured in future work plans. The risks involved with continuing operations without the solution in place will need to be identified and recorded, and fed into the agency's risk management process.

7.2 Incorporating Results into Strategic Planning

Communication methods used when engaging with stakeholders should include provisions for incorporating relevant information received into formal reports. Stakeholder engagement provides information about the recordkeeping needs, interests, and concerns of key stakeholder groups. This information can be used to support strategic objectives, the need for changes in policy or practice, the development of new procedures or processes, the introduction of new systems, and meet other records management needs.

The information received from stakeholder engagement becomes the justification for records management action. Capturing such information in formal reports enables the executive (or other relevant and influential groups) to be appropriately informed so that they are able to make a decision or take action.

If there is a body that is overseeing the stakeholder engagement, they will need to be provided with regular reports.

Additional reports that could benefit from including the results of stakeholder engagement include the following:

- Business Cases;
- Project Briefs;
- Strategic Plans;
- Annual Reports;
- Section or Team Reports; and
- Performance Reports.

Reports not only provide information on what has been completed, they also help to shape future direction.

7.3 Keeping Stakeholder Groups Informed

An important aspect of stakeholder engagement is to report back to the stakeholder groups on actions taken as a result of the engagement. This informs stakeholders involved in the engagement process of what has happened to the information they provided, including:

- Which feedback was incorporated into document drafts, and how;
- Which feedback was not incorporated and why not;
- What has happened regarding concerns or issues raised by the stakeholders;
- Any risks associated with the information provided and how these might be addressed;
- What the next steps are; and
- New initiatives regarding records management that might impact the stakeholder group.

Communication methods to inform stakeholder groups will differ according to the group concerned and the agency's processes and requirements regarding providing particular kinds of information. Methods should match those used to engage where possible. For example, if information was received face to face, report back in person. If information was received in writing, report back in writing. There may be circumstances where the communication method will differ. Generally, this will be due to the preferences of the stakeholder group, or the nature of the information being reported. For example, the information may be of a sensitive nature.

8 Assessment of Stakeholder Engagement

Assessment of the stakeholder engagement model enables:

- The key stakeholder groups to remain up to date;
- Communication methods and approaches used to become more effective; and
- The processes for incorporating information received into work processes and reports to be more efficient.

Annual assessment may be built into the stakeholder engagement process itself, or undertaken as a separate process.

This section relates to requirement 32 of the Strategic Management Specification.

8.1 Assessment Methods

Assessment methods used should be broad so that they investigate the

- Quality of the engagement;
- Suitability of the communication methods used;
- Efficiency of the stakeholder engagement process;
- Currency of the stakeholder engagement or communication plan; and
- Relevance and representativeness of the key stakeholder groups identified.

Feedback obtained from the assessments should be collated, assessed for relevance, and used as a basis to determine what (if any) aspects of the stakeholder engagement model may need to be changed.

8.1.1 Quality assurance criteria

Quality assurance criteria for the stakeholder engagement model should be developed prior to the engagement and assessed every time the engagement model is assessed to ensure that they remain relevant. When developing quality assurance criteria for the assessment, consider the following:

- The purpose of the assurance process;
- Strategic objectives and policy directives used to develop the stakeholder engagement model;
- The objectives of the engagement;
- Any limitations regarding the engagement;
- The people providing quality assurance; and
- The level of assurance required.

8.1.2 Stakeholder assessment

Where possible, the stakeholders themselves should provide feedback on the engagement. This involves providing stakeholders with the means to comment on aspects of the engagement process after every engagement. Assessment may be in the form of questionnaires, surveys, or focus groups.

Think about what information the stakeholders can provide regarding the engagement. Where possible, link the assessment sections to specific documents or services used by the engagement so that feedback can be used to identify what elements of the stakeholder engagement model may need to be adjusted.

Put in place procedures that govern the stakeholder assessment processes so that the assessment is undertaken consistently, and the results incorporated into the next stakeholder engagement model update.

8.1.3 Self assessment

Self assessment based on a set of pre-determined quality assurance criteria may be done by the agency after each engagement. This may be done in the form of a report, such as a post-project review, or a lessons-learned report. Questionnaires, surveys, or brainstorming sessions may also be used.

Think about your involvement in the engagement process. Ask yourself questions, such as:

- What worked or did not work?
- Which communication methods used were more successful and why?
- Were there any gaps in coverage of stakeholder groups?
- How effective were the templates and procedures used?

8.1.4 Assessment by governing body

If there is a committee or board or other governing body overseeing the engagement process, assessment can be undertaken by the governance body itself. This involves providing the governing body with the information it needs to make a decision, perhaps by submitting a written or oral report. It uses the quality assurance criteria to assess whether or not the engagement was successful and what (if any) changes need to be made to the stakeholder engagement model.

8.2 Updating the Model

The results of the assessment should help with the identification of any aspects of the stakeholder engagement model that require adjustment. This may lead to a revision of the communication methods used, an update of the stakeholder profiles, changes to the stakeholder engagement plan or communications plan, or any of the associated processes, procedures, or reports.

9 References

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National Archives of Australia 2001 (revised 2003, endorsed 2007), *Designing and Implementing Record keeping Systems (DIRKS) Manual*, National Archives of Australia, Canberra, ACT.

Queensland State Archives 2003, *Strategic Recordkeeping Implementation Plan (SRIP) Workbook*, Queensland State Archives, Brisbane, Queensland.

Legislation

Information Privacy Act 2000 (Vic)
Public Records Act 1973 (Vic)

All current Victorian legislation is available at <http://www.legislation.vic.gov.au>

Standards

AccountAbility 2005, *AA1000 Stakeholder Engagement Standard Exposure Draft*, AccountAbility, London, UK, viewed 21 January 2010 <<http://www.accountability21.net/publications.aspx?id=384>>.

Standards Australia 2002, *AS ISO 15489 Australian Standard on Records Management*, Standards Australia, Sydney.

Standards Australia 2003, *AS 8000 Australian Standard on Good Governance Principles*, Standards Australia, Sydney.

Standards Australia 2003, *AS 8003 Australian Standard on Corporate Social Responsibility*, Standards Australia, Sydney.

Standards Australia 2006, *DR06585 Draft for Public Comment Australian Standard: Guide to Strategic Management practices*, Standards Australia, Sydney.

Other Resources

For more information about stakeholder engagement, please contact:

Public Record Office Victoria
Ph: (03) 9348 5600
Fax: (03) 9348 5656
Email: agency.queries@prov.vic.gov.au
Web: www.prov.vic.gov.au

Appendix 1: Stakeholder Engagement Plan Components

Part 1: Objectives & Scope of the Engagement

This section covers the main objectives of the engagement. Objectives should be related to the records management programme as a whole. The purpose of this section is to link the objectives of the stakeholder engagement to the agency's strategic direction regarding records management. This section should link to the records management strategy and the records management policy.

Specific records management products, systems or services may be developed and implemented as part of a project. Projects will tend to include a communication plan as part of the project methodology. The communication plan for the project may be based on the records management stakeholder engagement plan.

Part 2: Risk Assessment

This section contains a SWOT analysis regarding the strengths, weaknesses, opportunities and threats for the agency to engage with stakeholders about records management. The purpose of the risk assessment is to determine and justify the level of engagement needed by the agency to support the records management programme. Justification may be required to obtain executive support or the resources required to implement the plan.

Part 3: Engagement Processes and Communication Methods

This section briefly outlines the engagement processes and strategies, and the communication methods that will be used. The purpose of this section is to determine the types of communication required to meet the objectives of the engagement plan (as described in part 1). The specific methods and strategies required to deliver the communication required can then be determined.

The following may be included in this section:

- Existing methods or strategies that may be used and who is currently responsible for them;
- Additional methods or strategies that may need to be developed,
- the resources required for the identified method or strategy, and whether the current records management budget will cover them;
- The benefits of using the engagement method or strategy; and
- Potential issues or risks regarding using the engagement method or strategy.

Part 4: Identification of Stakeholder Groups

This section describes briefly the process used to identify relevant stakeholder groups. It may include the stakeholder identification criteria (if criteria were developed and used to determine which stakeholder groups would be of relevance).

Part 5: Engagement Plan for Stakeholder Groups

This section identifies the stakeholder groups that are to be targeted for engagement.

The following information should be recorded for each stakeholder group mentioned:

- The level of engagement;
- The anticipated methods or strategies to be used for engagement (from those described in Part 2);
- The objectives for engaging with the specific stakeholder group (in other words; what is to be achieved by engaging with the particular stakeholder group?);
- The frequency of engagement;
- Measures to determine whether or not the engagement has been successful (for example; how will you know if the objective of the engagement has been achieved? This may include the completion of specific products, the inclusion of recordkeeping requirements in key strategies, or the inclusion of records management in decision making forums);
- The actions required for engagement, the person responsible for each action, and the anticipated time frame;
- The resources required for engagement (this may include the following; the people, software or tools, working hours, or financial cost);
- The achievements of the engagement; and
- Lessons learned from the engagement.

Part 6: Improvement Plan

This section briefly outlines the process that will be used to ensure that the results of the engagement feed into the ongoing improvement of agency processes and practices. It may include the following:

- Lists of the reports that may be used;
- A table of responsibilities, knowledge and expertise (this provides the names or position titles of people who should be contacted regarding particular subjects, and their areas of expertise or responsibility);
- References to processes or procedures for feeding the results into the review cycles of relevant records management programme, products, systems and services; or
- Lists of committees or boards that may need to be kept updated, and how this may occur.

Appendix 2: Stakeholder Group Profile Components

This may be a register, a database, or something else. A separate entry should be provided for each stakeholder group. The stakeholder group profile is a work in progress document that will be continually added to over the duration of the engagement.

Name of Stakeholder Group

The name of the stakeholder group.

You may also wish to record whether the stakeholder is internal or external.

Key representative or contact

The name or position title of the main contact or representative of the stakeholder group.

Contact Details

This may be the email address, telephone number, postal address, or other means for contacting the stakeholder group.

Influence or dependence on agency

This section will briefly cover:

Whether the external stakeholder group is dependant on the agency or has influence over the agency.

Whether the internal stakeholder group is dependant on the records management unit or has influence over the records management unit.

Specific interest regarding records management

This section will briefly cover any specific interest in records management that the stakeholder group is known to have. For example, records for the information technology unit will most likely have an interest in electronic records management.

Key issues regarding records management

This section will identify any key issues regarding records management that the stakeholder group is known to have. For example, the information technology unit will most likely have issues regarding the long term preservation of electronic records and information security.

This section should also briefly cover how the issues identified by the stakeholder group are being, or will be, addressed. This may be by reference to a process, a review group, or report.

Level of engagement

This section covers the current level of engagement for the stakeholder group. The level may change over time, depending on the circumstances.

Communication methods

This section should include the following:

- Whether or not the agency / records management unit regularly communicates with this stakeholder group, and how this communication usually occurs;
- How regularly the stakeholder group is engaged in communications with the agency / records management unit; and
- The preferred method of communication as identified by the stakeholder group.

Triggers

This section identifies any known triggers for initiating contact with the stakeholder group. Triggers may include the following:

- Areas of responsibility that are connected to records management;
- The review or upgrade of specific recordkeeping systems or products that are used by the stakeholder group; or
- Changes in circumstances that have an affect on what records are to be created and kept.

Recent communications

This section may be part of the stakeholder profile or it may be a separate register. Each instance of communication with the stakeholder is recorded to assist with future communications. Information recorded may include the following:

- The date of the communication;
- The method of the communication;
- The topic or issue of the communication;
- Who initiated the communication;
- Any action taken, by whom and when;
- The result of the communication; and
- Improvements made as a result of the communication.

Appendix 3: Stakeholder Group/Communication Table

Stakeholder Group	Objective	Communication Methods	Frequency
Agency Head	<p>To obtain endorsement and resources for records management products or services</p> <p>To report on the status of the records management strategy, programme implementation, and risk identification and mitigation</p> <p>To ensure alignment with whole of Victorian Government directives and interagency / cross jurisdictional projects</p> <p>To ensure recordkeeping responsibilities are understood and accepted</p> <p>To ensure the records management policy, procedures, systems requirements, and processes are understood and complied with</p> <p>To enable the identification and raising of recordkeeping risks</p>	Request for written feedback	During the draft stage of records management policy, procedures and processes
		Meeting	Regular and ongoing at minimum bi-monthly
		Joint Stakeholder Committee	During the draft and review phase of strategic planning documents, including the records management strategy and policy
		Survey	At 3, 6 and 12 months after implementing records management products or services
Agency Personnel	<p>To ensure recordkeeping responsibilities are understood and accepted</p> <p>To ensure the records management policy, procedures, systems requirements, and processes are understood and complied with</p> <p>To enable the identification and raising of recordkeeping risks</p> <p>To understand the business practices of agency personnel</p>	Request for written feedback	During the draft stage of records management policy, procedures and processes
		Meeting	Regular and ongoing at minimum bi-monthly
		Online Forum	Continual to enable ongoing discussion
		Workshop	During the draft or review stage of records management policy, procedures and processes
		Survey	At 3, 6 and 12 months after implementing records management products or services

Stakeholder Group	Objective	Communication Methods	Frequency
Business Unit Managers	<p>To identify and understand business needs</p> <p>To ensure recordkeeping responsibilities are understood and accepted</p> <p>To ensure the records management policy, procedures, systems requirements, and processes are understood and complied with</p> <p>To enable the self assessment of records management practice against the requirements of the records management programme</p> <p>To engage as a records management champion and maintain buy-in</p>	Request for written feedback	During the draft stage of records management policy, procedures and processes
		Meeting	Regular and ongoing at minimum bi-monthly
		Focus Group	During the review stage of records management policy, procedures and processes
		Advisory Group	During the draft or review stage of records management programme, strategy, policy, procedures and processes
		Workshop	During the draft or review stage of records management policy, procedures and processes
		Survey	At 3, 6 and 12 months after implementing records management products or services
Chief Executive Officer	<p>To obtain endorsement and resources for records management products or services</p> <p>To report on the status of the records management strategy, programme implementation, and risk identification and mitigation</p> <p>To ensure alignment with whole of Victorian Government directives and interagency / cross jurisdictional projects</p> <p>To ensure recordkeeping responsibilities are understood and accepted</p> <p>To ensure the records management policy, procedures, systems requirements, and processes are understood and complied with</p> <p>To enable the identification and raising of recordkeeping risks</p>	Request for written feedback	During the draft stage of records management policy, procedures and processes
		Meeting	Regular and ongoing at minimum bi-monthly
		Joint Stakeholder Committee	During the draft and review phase of strategic planning documents, including the records management strategy and policy
		Survey	At 3, 6 and 12 months after implementing records management products or services

Stakeholder Group	Objective	Communication Methods	Frequency
Chief Information Officer	<p>To ensure recordkeeping responsibilities are understood and accepted</p> <p>To ensure the records management policy, procedures, systems requirements, and processes are understood and complied with</p> <p>To strategically align information management and records management</p> <p>To identify and understand business needs</p> <p>To engage as a records management champion and maintain buy-in</p>	Request for written feedback	During the draft stage of records management policy, procedures and processes
		Meeting	Regular and ongoing at minimum bi-monthly
		Focus Group	During the review stage of records management policy, procedures and processes
		Advisory Group	During the draft or review stage of records management programme, strategy, policy, procedures and processes
		Joint Stakeholder Committee	During the draft and review phase of strategic planning documents, including the records management strategy and policy
		Workshop	During the draft or review stage of records management policy, procedures and processes
		Survey	At 3, 6 and 12 months after implementing records management products or services
Consultants	<p>To identify and understand business needs</p> <p>To ensure recordkeeping responsibilities are understood and accepted</p> <p>To ensure the records management policy, procedures, systems requirements, and processes are understood and complied with</p> <p>To enable the identification and raising of recordkeeping risks</p>	Meeting	Regular and ongoing at minimum bi-monthly
		Online Forum	Continual to enable ongoing discussion
		Focus Group	During the review stage of records management policy, procedures and processes
		Workshop	During the draft or review stage of records management policy, procedures and processes
		Survey	At 3, 6 and 12 months after implementing records management products or services

Stakeholder Group	Objective	Communication Methods	Frequency
Contract Management Unit	<ul style="list-style-type: none"> To ensure policy alignment with the records management policy To ensure that recordkeeping requirements are included in the legal documents that govern the relationship with contracted service providers or privatised entities To identify and understand business needs To ensure recordkeeping responsibilities are understood and accepted To ensure the records management policy, procedures, systems requirements, and processes are understood and complied with To enable the identification and raising of recordkeeping risks 	Request for written feedback	During the draft stage of records management policy, procedures and processes
		Meeting	Regular and ongoing at minimum bi-monthly
		Online Forum	Continual to enable ongoing discussion
		Focus Group	During the review stage of records management policy, procedures and processes
		Advisory Group	During the draft or review stage of records management programme, strategy, policy, procedures and processes
		Workshop	During the draft or review stage of records management policy, procedures and processes
		Survey	At 3, 6 and 12 months after implementing records management products or services
Contractors	<ul style="list-style-type: none"> To identify and understand business needs To ensure recordkeeping responsibilities are understood and accepted To ensure the records management policy, procedures, systems requirements, and processes are understood and complied with To enable the identification and raising of recordkeeping risks 	Meeting	Regular and ongoing at minimum bi-monthly
		Online Forum	Continual to enable ongoing discussion
		Focus Group	During the review stage of records management policy, procedures and processes
		Workshop	During the draft or review stage of records management policy, procedures and processes
		Survey	At 3, 6 and 12 months after implementing records management products or services
		Communication Methods	Frequency
		Request for written feedback	During the draft stage of records management policy,

	procedures and processes
Meeting	Regular and ongoing at minimum bi-monthly
Online Forum	Continual to enable ongoing discussion
Focus Group	During the review stage of records management policy, procedures and processes
Workshop	During the draft or review stage of records management policy, procedures and processes
Survey	At 3, 6 and 12 months after implementing records management products or services
Request for written feedback	During the draft stage of records management policy, procedures and processes
Meeting	Regular and ongoing at minimum bi-monthly
Joint Stakeholder Committee	During the draft and review phase of strategic planning documents, including the records management strategy and policy
Survey	At 3, 6 and 12 months after implementing records management products or services

Stakeholder Group	Objective	Communication Methods	Frequency
EDRMS / ECMS Project Team	To ensure recordkeeping responsibilities are understood and accepted	Request for written feedback	During the draft stage of records management policy, procedures and processes
	To ensure the records management policy, procedures, systems requirements, and processes are understood and complied with	Meeting	Regular and ongoing at minimum bi-monthly
	To enable the identification and raising of recordkeeping risks	Online Forum	Continual to enable ongoing discussion
	To identify and understand business needs	Focus Group	During the review stage of records management policy, procedures and processes
	To ensure policy alignment with the records management policy	Advisory Group	During the draft or review stage of records management programme, strategy, policy, procedures and processes
	To discuss the technological environment and recordkeeping requirements and reach mutual understanding	Workshop	During the draft or review stage of records management policy, procedures and processes
		Survey	At 3, 6 and 12 months after implementing records management products or services
EDRMS / ECMS Steering Committee	To ensure recordkeeping responsibilities are understood and accepted	Meeting	Regular and ongoing at minimum bi-monthly
	To ensure the records management policy, procedures, systems requirements, and processes are understood and complied with	Online Forum	Continual to enable ongoing discussion
	To enable the identification and raising of recordkeeping risks	Joint Stakeholder Committee	During the draft and review phase of strategic planning documents, including the records management strategy and policy
	To identify and understand business needs	Workshop	During the draft or review stage of records management policy, procedures and processes
	To ensure policy alignment with the records management policy	Survey	At 3, 6 and 12 months after implementing records management products or services
	To discuss the technological environment and recordkeeping requirements and reach mutual understanding		

Stakeholder Group	Objective	Communication Methods	Frequency
Environmental Management Committee	To ensure policy alignment with the records management policy	Request for written feedback	During the draft stage of records management policy, procedures and processes
	To ensure recordkeeping responsibilities are understood and accepted	Meeting	Regular and ongoing at minimum bi-monthly
	To ensure the records management policy, procedures, systems requirements, and processes are understood and complied with	Focus Group	During the review stage of records management policy, procedures and processes
	To identify and understand business needs	Advisory Group	During the draft or review stage of records management programme, strategy, policy, procedures and processes
	To engage as a records management champion and maintain buy-in	Joint Stakeholder Committee	During the draft and review phase of strategic planning documents, including the records management strategy and policy
	To ensure Records management requirements are identified in strategies and systems	Workshop	During the draft or review stage of records management policy, procedures and processes
	To enhance awareness of shared objective of reducing paper consumption	Survey	At 3, 6 and 12 months after implementing records management products or services
Executive Assistants	To ensure recordkeeping responsibilities are understood and accepted	Request for written feedback	During the draft stage of records management policy, procedures and processes
	To ensure the records management policy, procedures, systems requirements, and processes are understood and complied with	Meeting	Regular and ongoing at minimum bi-monthly
	To enable the identification and raising of recordkeeping risks	Online Forum	Continual to enable ongoing discussion
	To understand the business practices of agency personnel	Workshop	During the draft or review stage of records management policy, procedures and processes
		Survey	At 3, 6 and 12 months after implementing records management products or services

Stakeholder Group	Objective	Communication Methods	Frequency
Executive Directors	<p>To ensure recordkeeping responsibilities are understood and accepted</p> <p>To ensure the records management policy, procedures, systems requirements, and processes are understood and complied with</p> <p>To report on the status of the records management strategy, programme implementation, and risk identification and mitigation</p> <p>To strategically align records management</p>	Request for written feedback	During the draft stage of records management policy, procedures and processes
		Meeting	Regular and ongoing at minimum bi-monthly
		Joint Stakeholder Committee	During the draft and review phase of strategic planning documents, including the records management strategy and policy
		Workshop	During the draft or review stage of records management policy, procedures and processes
		Survey	At 3, 6 and 12 months after implementing records management products or services
Expenditure Review Committee (ERC)	<p>To obtain resources for records management products or services</p> <p>To report on the status of the records management programme or related products or services if funded by the ERC</p>	Meeting	As required
		Joint Stakeholder Committee	During the draft and review phase of strategic planning documents, including the records management strategy and policy
Freedom of Information (FOI) Unit / Officer	<p>To strategically align records management</p> <p>To ensure recordkeeping responsibilities are understood and accepted</p> <p>To ensure the records management policy, procedures, systems requirements, and processes are understood and complied with</p> <p>To ensure policy alignment with the records management policy</p> <p>To identify and understand business needs</p> <p>To engage as a records management champion and maintain buy-in</p> <p>To ensure Records management requirements are identified in strategies and systems</p>	Request for written feedback	During the draft stage of records management policy, procedures and processes
		Meeting	Regular and ongoing at minimum bi-monthly
		Focus Group	During the review stage of records management policy, procedures and processes
		Advisory Group	During the draft or review stage of records management programme, strategy, policy, procedures and processes
		Joint Stakeholder Committee	During the draft and review phase of strategic planning documents, including the records management strategy and policy

	Workshop	During the draft or review stage of records management policy, procedures and processes
	Survey	At 3, 6 and 12 months after implementing records management products or services

Stakeholder Group	Objective	Communication Methods	Frequency
General Public	To identify and understand community expectations regarding recordkeeping To ensure agency practices are transparent and accountable	Request for written feedback	During the draft stage of records management policy, procedures and processes
		Meeting	As required
		Online Forum	Continual to enable ongoing discussion
		Survey	At 3, 6 and 12 months after implementing records management products or services
Human Resources Unit	To ensure policy alignment with the records management policy To ensure recordkeeping responsibilities are understood and accepted To ensure the records management policy, procedures, systems requirements, and processes are understood and complied with To identify and understand business needs To ensure that the records management programme is sufficiently covered in the induction programme To engage as a records management champion and maintain buy-in	Request for written feedback	During the draft stage of records management policy, procedures and processes
		Meeting	Regular and ongoing at minimum bi-monthly
		Online Forum	Continual to enable ongoing discussion
		Focus Group	During the review stage of records management policy, procedures and processes
		Advisory Group	During the draft or review stage of records management programme, strategy, policy, procedures and processes
		Workshop	During the draft or review stage of records management

			policy, procedures and processes
		Survey	At 3, 6 and 12 months after implementing records management products or services
Information Management Unit / Officer	<p>To ensure recordkeeping responsibilities are understood and accepted</p> <p>To ensure the records management policy, procedures, systems requirements, and processes are understood and complied with</p> <p>To strategically align information management and records management</p> <p>To identify and understand business needs</p> <p>To engage as a records management champion and maintain buy-in</p>	Request for written feedback	During the draft stage of records management policy, procedures and processes
		Meeting	Regular and ongoing at minimum bi-monthly
		Focus Group	During the review stage of records management policy, procedures and processes
		Advisory Group	During the draft or review stage of records management programme, strategy, policy, procedures and processes
		Joint Stakeholder Committee	During the draft and review phase of strategic planning documents, including the records management strategy and policy
		Workshop	During the draft or review stage of records management policy, procedures and processes
		Survey	At 3, 6 and 12 months after implementing records management products or services

Stakeholder Group	Objective	Communication Methods	Frequency
Information Privacy Unit / Officer	<p>To strategically align records management</p> <p>To ensure recordkeeping responsibilities are understood and accepted</p> <p>To ensure the records management policy, procedures, systems requirements, and processes are understood and complied with</p> <p>To ensure policy alignment with the records management policy</p> <p>To identify and understand business needs</p> <p>To engage as a records management champion and maintain buy-in</p> <p>To ensure Records management requirements are identified in strategies and systems</p>	Request for written feedback	During the draft stage of records management policy, procedures and processes
		Meeting	Regular and ongoing at minimum bi-monthly
		Focus Group	During the review stage of records management policy, procedures and processes
		Advisory Group	During the draft or review stage of records management programme, strategy, policy, procedures and processes
		Joint Stakeholder Committee	During the draft and review phase of strategic planning documents, including the records management strategy and policy
		Workshop	During the draft or review stage of records management policy, procedures and processes
		Survey	At 3, 6 and 12 months after implementing records management products or services
Information Technology Unit / Officers	<p>To strategically align records management</p> <p>To ensure recordkeeping responsibilities are understood and accepted</p> <p>To ensure the records management policy, procedures, systems requirements, and processes are understood and complied with</p> <p>To ensure policy alignment with the records management policy</p> <p>To identify and understand business needs</p> <p>To engage as a records management champion and maintain buy-in</p> <p>To ensure Records management requirements are identified in strategies and systems</p>	Request for written feedback	During the draft stage of records management policy, procedures and processes
		Meeting	Regular and ongoing at minimum bi-monthly
		Focus Group	During the review stage of records management policy, procedures and processes
		Advisory Group	During the draft or review stage of records management programme, strategy, policy, procedures and processes
		Joint Stakeholder Committee	During the draft and review phase of strategic planning documents, including the records management strategy and policy

Stakeholder Group	Objective	Communication Methods	Frequency
Internal Audit Committee	<p>To strategically align records management</p> <p>To ensure recordkeeping responsibilities are understood and accepted</p> <p>To ensure the records management policy, procedures, systems requirements, and processes are understood and complied with</p> <p>To identify and understand business needs</p> <p>To engage as a records management champion and maintain buy-in</p> <p>To audit the records management programme, report any findings, and recommend corrective action</p> <p>To review the scope, methodology, and outcomes of the records management programme in response to audit issues</p> <p>To conduct quality analysis</p>	Request for written feedback	During the draft stage of records management policy, procedures and processes
		Meeting	Regular and ongoing at minimum bi-monthly
		Focus Group	During the review stage of records management policy, procedures and processes
		Advisory Group	During the draft or review stage of records management programme, strategy, policy, procedures and processes
		Joint Stakeholder Committee	During the draft and review phase of strategic planning documents, including the records management strategy and policy
		Workshop	During the draft or review stage of records management policy, procedures and processes
		Survey	At 3, 6 and 12 months after implementing records management products or services
Knowledge Management Unit / Officer	<p>To ensure recordkeeping responsibilities are understood and accepted</p> <p>To ensure the records management policy, procedures, systems requirements, and processes are understood and complied with</p> <p>To strategically align knowledge management and records management</p> <p>To identify and understand business needs</p> <p>To engage as a records management champion and maintain buy-in</p>	Request for written feedback	During the draft stage of records management policy, procedures and processes
		Meeting	Regular and ongoing at minimum bi-monthly
		Focus Group	During the review stage of records management policy, procedures and processes
		Advisory Group	During the draft or review stage of records management programme, strategy, policy, procedures and processes
		Joint Stakeholder Committee	During the draft and review phase of strategic planning documents, including the records management strategy and policy

Stakeholder Group	Objective	Communication Methods	Frequency
Koori Heritage Trust	To identify and understand expectations regarding records of relevance to those of Koori heritage To ensure agency practices are transparent and accountable	Request for written feedback	During the draft stage of records management policy, procedures and processes
		Meeting	As required
		Online Forum	Continual to enable ongoing discussion
		Survey	At 3, 6 and 12 months after implementing records management products or services
Legal Services Unit / Officer	To ensure policy alignment with the records management policy To ensure that recordkeeping requirements are included in the legal documents that govern the relationship with contracted service providers or privatised entities To identify and understand business needs To ensure recordkeeping responsibilities are understood and accepted To ensure the records management policy, procedures, systems requirements, and processes are understood and complied with To enable the identification and raising of recordkeeping risks	Request for written feedback	During the draft stage of records management policy, procedures and processes
		Meeting	Regular and ongoing at minimum bi-monthly
		Online Forum	Continual to enable ongoing discussion
		Focus Group	During the review stage of records management policy, procedures and processes
		Advisory Group	During the draft or review stage of records management programme, strategy, policy, procedures and processes
		Workshop	During the draft or review stage of records management policy, procedures and processes
		Survey	At 3, 6 and 12 months after implementing records management products or services
Lord Mayor / Council	To identify and understand business needs To ensure recordkeeping responsibilities are understood and accepted	Meeting	As required
		Online Forum	Continual to enable ongoing discussion

	To ensure the records management policy, procedures, systems requirements, and processes are understood and complied with		
		Workshop	During the draft or review stage of records management policy, procedures and processes
		Survey	At 3, 6 and 12 months after implementing records management products or services

Stakeholder Group	Objective	Communication Methods	Frequency
Management or Leadership Committee	To ensure recordkeeping responsibilities are understood and accepted	Request for written feedback	During the draft stage of records management policy, procedures and processes
	To ensure the records management policy, procedures, systems requirements, and processes are understood and complied with	Meeting	Regular and ongoing at minimum bi-monthly
	To report on the status of the records management strategy, programme implementation, and risk identification and mitigation	Joint Stakeholder Committee	During the draft and review phase of strategic planning documents, including the records management strategy and policy
	To strategically align records management	Workshop	During the draft or review stage of records management policy, procedures and processes
		Survey	At 3, 6 and 12 months after implementing records management products or services
Media	To identify and understand community expectations regarding recordkeeping	Meeting	As required
	To ensure agency practices are transparent and accountable	Online Forum	Continual to enable ongoing discussion
Municipal Association of Victoria	To identify and understand common business needs	Request for written feedback	During the draft stage of records management policy, procedures and processes
	To coordinate activities where possible to maximise benefit to all parties involved	Meeting	As required
		Online Forum	Continual to enable ongoing discussion

	Focus Group	During the review stage of records management policy, procedures and processes
	Advisory Group	During the draft or review stage of records management programme, strategy, policy, procedures and processes
	Workshop	During the draft or review stage of records management policy, procedures and processes
	Survey	At 3, 6 and 12 months after implementing records management products or services

Stakeholder Group	Objective	Communication Methods	Frequency
Occupational Health and Safety Committee / Officer	To ensure recordkeeping responsibilities are understood and accepted	Request for written feedback	During the draft stage of records management policy, procedures and processes
	To ensure the records management policy, procedures, systems requirements, and processes are understood and complied with	Meeting	Regular and ongoing at minimum bi-monthly
	To ensure policy alignment with the records management policy	Focus Group	During the review stage of records management policy, procedures and processes
	To identify and understand business needs	Advisory Group	During the draft or review stage of records management programme, strategy, policy, procedures and processes
	To engage as a records management champion and maintain buy-in	Joint Stakeholder Committee	During the draft and review phase of strategic planning documents, including the records management strategy and policy
	To ensure Records management requirements are identified in strategies and systems	Workshop	During the draft or review stage of records management policy, procedures and processes
		Survey	At 3, 6 and 12 months after implementing records management products or services
Office of the Victorian Privacy Commissioner	To ensure the records management policy, procedures, systems requirements, and processes comply with Privacy legislation	Request for written feedback	During the draft stage of records management policy, procedures and processes
	To audit the records management programme, report any findings, and recommend corrective action	Meeting	As required
	To ensure agency practices are transparent and accountable	Joint Stakeholder Committee	During the draft and review phase of strategic planning documents, including the records management strategy and policy
		Survey	At 3, 6 and 12 months after implementing records management products or services
Ombudsman Victoria	To audit the records management programme, report any findings, and recommend corrective	Request for written feedback	During the draft stage of records management policy, procedures and processes

action To ensure agency practices are transparent and accountable	Meeting	As required
	Joint Stakeholder Committee	During the draft and review phase of strategic planning documents, including the records management strategy and policy
	Survey	At 3, 6 and 12 months after implementing records management products or services

Stakeholder Group	Objective	Communication Methods	Frequency
Outsourced Activity Service Provider	To ensure that recordkeeping requirements are included in the legal documents that govern the relationship with contracted service providers or privatised entities To identify and understand business needs To ensure recordkeeping responsibilities are understood and accepted To ensure the records management policy, procedures, systems requirements, and processes are understood and complied with To enable the identification and raising of recordkeeping risks	Meeting	As required
		Online Forum	Continual to enable ongoing discussion
		Focus Group	During the review stage of records management policy, procedures and processes
		Workshop	During the draft or review stage of records management policy, procedures and processes
		Survey	At 3, 6 and 12 months after implementing records management products or services
Parliamentary Minister	To ensure agency practices are transparent and accountable To ensure alignment with whole of Victorian government directions, policy and legislative requirements	Meeting	As required
Public Record Office Victoria	To ensure alignment with whole of Victorian government directions, policy and legislative requirements	Request for written feedback	During the draft stage of records management policy, procedures and processes
		Meeting	Regular and ongoing at minimum bi-monthly

		Advisory Group	During the draft or review stage of records management programme, strategy, policy, procedures and processes
		Survey	At 3, 6 and 12 months after implementing records management products or services
Records Management Association of Australasia	To provide awareness of current best practice records management	Meeting	As required
		Online Forum	Continual to enable ongoing discussion
		Focus Group	During the review stage of records management policy, procedures and processes
		Workshop	During the draft or review stage of records management policy, procedures and processes

Stakeholder Group	Objective	Communication Methods	Frequency
Registry Office / Officer	To ensure recordkeeping responsibilities are understood and accepted	Request for written feedback	During the draft stage of records management policy, procedures and processes
	To ensure the records management policy, procedures, systems requirements, and processes are understood and complied with	Meeting	Regular and ongoing at minimum bi-monthly
	To enable the identification and raising of recordkeeping risks	Online Forum	Continual to enable ongoing discussion
	To understand the business practices of agency personnel	Focus Group	During the review stage of records management policy, procedures and processes
		Workshop	During the draft or review stage of records management policy, procedures and processes
		Survey	At 3, 6 and 12 months after implementing records management products or services
Risk Management Committee / Officer	To ensure recordkeeping responsibilities are understood and accepted	Request for written feedback	During the draft stage of records management policy, procedures and processes
	To ensure the records management policy, procedures, systems requirements, and processes are understood and complied with	Meeting	Regular and ongoing at minimum bi-monthly
	To ensure policy alignment with the records management policy	Focus Group	During the review stage of records management policy, procedures and processes
	To identify and understand business needs	Advisory Group	During the draft or review stage of records management programme, strategy, policy, procedures and processes
	To engage as a records management champion and maintain buy-in	Joint Stakeholder Committee	During the draft and review phase of strategic planning documents, including the records management strategy and policy
	To ensure Records management requirements are identified in strategies and systems	Workshop	During the draft or review stage of records management policy, procedures and processes
	To discuss identification, assessment and mitigation of recordkeeping risks	Survey	At 3, 6 and 12 months after implementing records

			management products or services
Royal Historical Society	To identify and understand community expectations regarding recordkeeping To ensure records of value to historians are identified	Request for written feedback	During the draft stage of records management policy, procedures and processes
		Meeting	As required
		Online Forum	Continual to enable ongoing discussion
		Survey	At 3, 6 and 12 months after implementing records management products or services

Stakeholder Group	Objective	Communication Methods	Frequency
Security Unit / Officer	To ensure recordkeeping responsibilities are understood and accepted To ensure the records management policy, procedures, systems requirements, and processes are understood and complied with To ensure policy alignment with the records management policy To identify and understand business needs To engage as a records management champion and maintain buy-in To ensure Records management requirements are identified in strategies and systems	Request for written feedback	During the draft stage of records management policy, procedures and processes
		Meeting	Regular and ongoing at minimum bi-monthly
		Focus Group	During the review stage of records management policy, procedures and processes
		Advisory Group	During the draft or review stage of records management programme, strategy, policy, procedures and processes
		Joint Stakeholder Committee	During the draft and review phase of strategic planning documents, including the records management strategy and policy
		Workshop	During the draft or review stage of records management policy, procedures and processes
		Survey	At 3, 6 and 12 months after implementing records management products or services
Senior Executive	To ensure recordkeeping responsibilities are	Request for written feedback	During the draft stage of records management policy,

<p>understood and accepted</p> <p>To ensure the records management policy, procedures, systems requirements, and processes are understood and complied with</p> <p>To report on the status of the records management strategy, programme implementation, and risk identification and mitigation</p> <p>To strategically align records management</p> <p>To translate records management strategic objectives into operational and business plans</p>		procedures and processes
	Meeting	Regular and ongoing at minimum bi-monthly
	Joint Stakeholder Committee	During the draft and review phase of strategic planning documents, including the records management strategy and policy
	Workshop	During the draft or review stage of records management policy, procedures and processes
	Survey	At 3, 6 and 12 months after implementing records management products or services

Stakeholder Group	Objective	Communication Methods	Frequency
Senior Officer	<p>To ensure recordkeeping responsibilities are understood and accepted</p> <p>To ensure the records management policy, procedures, systems requirements, and processes are understood and complied with</p> <p>To report on the status of the records management strategy, programme implementation, and risk identification and mitigation</p> <p>To strategically align records management</p> <p>To translate records management strategic objectives into operational and business plans</p>	Request for written feedback	During the draft stage of records management policy, procedures and processes
		Meeting	Regular and ongoing at minimum bi-monthly
		Advisory Group	During the draft or review stage of records management programme, strategy, policy, procedures and processes
		Workshop	During the draft or review stage of records management policy, procedures and processes
		Survey	At 3, 6 and 12 months after implementing records management products or services
State Coordination and Management Council	<p>To obtain resources for records management products or services</p> <p>To report on the status of the records management programme or related products or services if funded by the SC&M Council</p>	Meeting	As required
		Joint Stakeholder Committee	During the draft and review phase of strategic planning documents, including the records management strategy and policy
Training Unit / Officer	<p>To ensure awareness of required skill set for records management activities</p> <p>To train agency personnel in records management processes, policies, and systems</p> <p>To ensure recordkeeping responsibilities are understood and accepted</p> <p>To ensure the records management policy, procedures, systems requirements, and processes are understood and complied with</p> <p>To identify and understand business needs</p>	Request for written feedback	During the draft stage of records management policy, procedures and processes
		Meeting	Regular and ongoing at minimum bi-monthly
		Online Forum	Continual to enable ongoing discussion
		Focus Group	During the review stage of records management policy, procedures and processes
		Advisory Group	During the draft or review stage of records management programme, strategy, policy, procedures and processes
		Workshop	During the draft or review stage of records management

			policy, procedures and processes
		Survey	At 3, 6 and 12 months after implementing records management products or services
Stakeholder Group	Objective	Communication Methods	Frequency
Vendor	To discuss technological environment and recordkeeping requirements To discuss product / software / hardware features and customisation requirements To identify and understand business needs	Meeting	As required
		Online Forum	Continual to enable ongoing discussion
		Advisory Group	During the draft or review stage of records management programme, strategy, policy, procedures and processes
		Joint Stakeholder Committee	During the draft and review phase of strategic planning documents, including the records management strategy and policy
Victorian Genealogical Society	To identify and understand community expectations regarding recordkeeping To ensure records of value to genealogists are identified	Request for written feedback	During the draft stage of records management policy, procedures and processes
		Meeting	As required
		Online Forum	Continual to enable ongoing discussion
		Survey	At 3, 6 and 12 months after implementing records management products or services
Volunteers	To ensure recordkeeping responsibilities are understood and accepted To ensure the records management policy, procedures, systems requirements, and processes are understood and complied with To enable the identification and raising of	Request for written feedback	During the draft stage of records management policy, procedures and processes
		Meeting	Regular and ongoing at minimum bi-monthly
		Online Forum	Continual to enable ongoing discussion

	recordkeeping risks To understand the business practices of agency personnel	Workshop	During the draft or review stage of records management policy, procedures and processes
		Survey	At 3, 6 and 12 months after implementing records management products or services
Victorian Auditor General's Office	To audit the records management programme, report any findings, and recommend corrective action To ensure agency practices are transparent and accountable	Request for written feedback	During the draft stage of records management policy, procedures and processes
		Meeting	As required
		Joint Stakeholder Committee	During the draft and review phase of strategic planning documents, including the records management strategy and policy
		Survey	At 3, 6 and 12 months after implementing records management products or services

Appendix 4: Stakeholder Engagement Checklist

Stakeholder Identification & Analysis

Question	Yes	No	Unsure	Comments
Have criteria for the identification of key stakeholder groups been developed?				
Have the methods for identifying and assessing key stakeholder groups been determined?				
Has the context for stakeholder identification and analysis been determined?				
Have the key internal stakeholder groups been identified?				
Have the key external stakeholder groups been identified?				
Has a stakeholder Profile been set up to capture information about each of the key stakeholder groups?				
Has the level of engagement been determined for each of the key stakeholder groups?				

Stakeholder Consultation

Question	Yes	No	Unsure	Comments
Has a communication or stakeholder engagement plan been developed?				
Does the communication or stakeholder engagement plan identify the key stakeholder groups?				
Have communication methods and strategies been determined for each of the key stakeholder groups identified?				
Are the communication methods and strategies identified covered by the communication or stakeholder engagement plan?				
Have the communication methods and strategies identified been assessed for relevance and effectiveness?				
Have steps to maintain ongoing stakeholder relations been factored into key processes and procedures?				

Negotiations & Partnerships

Question	Yes	No	Unsure	Comments
Have key stakeholder groups that require building alliances been identified?				
Have tactics for building key alliances been developed for each of the identified groups?				
Are the communication methods required for building the alliances identified covered in the communication or stakeholder engagement plan?				
Have communication strategies for maintaining the alliances been determined?				
Are the communication strategies required for maintaining the alliances identified covered in the communication or stakeholder engagement plan?				

Enabling Stakeholders

Question	Yes	No	Unsure	Comments
Does the agency have an existing methodology that can be used by stakeholders to raise recordkeeping issues?				
Does the agency have process to review and report back on stakeholder issues and concerns regarding recordkeeping?				
Question	Yes	No	Unsure	Comments
Does the methodology or process used by the agency enable both internal and external stakeholders to raise recordkeeping issues?				
Have strategies for incorporating the information received from the stakeholders into work processes and practices been developed?				
Have strategies for incorporating the information received from the stakeholders into work processes and practices been implemented?				

Stakeholder Reporting

Question	Yes	No	Unsure	Comments
Have strategies and processes to incorporate the results of stakeholder engagement into work practices and processes been developed?				
Have strategies and processes to incorporate the results of stakeholder engagement into work practices and processes been implemented?				
Have strategies and processes for reporting on the results of stakeholder engagement been developed?				
Have strategies and processes for reporting on the results of stakeholder engagement been implemented?				
Have strategies and processes for reporting to stakeholders the results of the engagement been developed?				
Have strategies and processes for reporting to stakeholders the results of the engagement been developed?				
Has the stakeholder profile been updated to include the results of the engagement, if relevant?				

Assessment of the Stakeholder Engagement Model

Question	Yes	No	Unsure	Comments
Have methods for assessing the stakeholder engagement model been developed?				
Have methods for assessing the stakeholder engagement model been implemented?				
Have methods for assessing the communication methods used been developed?				
Have methods for assessing the communication methods used been assessed?				
Have the stakeholders been provided with the opportunity to assess the stakeholder engagement process?				
Has a self assessment of the stakeholder engagement process been completed?				
Have the results of the assessment been collated and examined to identify what areas of the stakeholder engagement model need to be updated?				
Has the stakeholder engagement model been updated in line with the results of the assessment?				