

Guideline

Key Performance Indicators PROS 10/10 G3

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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 contained in the *Strategic Management Specification* with regard to the development and implementation of key performance indicators.

This Guideline explains how to develop and use Key Performance Indicators (KPIs) for records management. It is based on a number of methodologies for developing KPIs in general which were then amalgamated and tailored for records management.

1.3 Scope

This Guideline covers the development of strategic or operational KPIs for records management. It provides basic information regarding what KPIs are, sets out an approach for developing KPIs and suggests specific techniques related to grouping KPIs once formulated. A number of example KPIs are listed that may be chosen from, used, modified, and expanded upon by agencies for their own circumstances. The examples represent a starting point and are by no means exhaustive.

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

2 What are Key Performance Indicators?

This section provides an overview of Key Performance Indicators (KPIs) in general terms. It looks at the business context for KPIs – why have KPIs and what do they achieve. A definition and general characteristics of KPIs are also provided.

2.1 Business Context

KPIs assist the agency to define and measure progress toward agency goals and objectives. Once the agency has analysed its mission and defined its goals, it needs to measure progress towards those goals. KPIs provide a measurement tool.

The strategic measures are translated into a series of operational ones across the agency to ensure that the goals are met. For example, the records management strategy, which identifies the agency's mission and goals regarding recordkeeping, should contain KPIs to enable progress towards meeting those goals to be measured. The performance measures contained within the records management strategy will feed into a series of related goals and actions located in operational plans and individual performance plans.

KPIs assist an agency to measure that it is 'on track' – most often, that it is working towards and attaining a beneficial outcome or improvement. In many cases, KPIs are used in projects and to measure service delivery.

There are as many KPIs as ways in which they can be constructed. For example, in an Electronic Document and Records Management (EDRM) project, KPIs could be used to measure client uptake as the system rolls out. Another example is to measure the timeliness and quality of service delivery – in this case, KPIs may be used to measure that records services meet agreed delivery times for correspondence in accordance with a Service Level Agreement (SLA).

This document is a starting point only. It includes a number of examples across a range of possible records management activities and undertakings. Examples are interpretive and span a range from strategic to operational.

2.2 Definition

Definitions of KPIs have a consistent thread, generally centred on quantifiable, measurable progress towards achieving agency goals and objectives. For example:

Key Performance Indicators (KPIs) are quantitative and qualitative measures used to review an organisation's progress against its goals. These are broken down and set as targets for achievement by departments and individuals. The achievement of these targets is reviewed at regular intervals.¹

¹ FinPa New Media 2009, *Key Performance Indicators*, FinPa New Media, Melbourne, viewed 24 February 2009, <<http://swinburne.projects.finpa.com.au/toolbox10/releases/final/toolbox/resources/res4040/res4040.htm>>.

2.3 Characteristics

KPI characteristics identified in the literature are listed below. A KPI does not need to satisfy all of these characteristics to be useful to the agency and characteristics may overlap. A KPI should be:

- Relevant to and consistent with the specific agency's vision, strategy and objectives (see Figure 2);
- Focused on agency wide strategic value rather than non-critical local business outcomes – selection of the wrong KPI can result in counterproductive behaviour and sub optimised outcomes;
- Representative – appropriate to the agency together with its operational performance;
- Realistic – fits into the agency's constraints and cost effective;
- Specific – clear and focused to avoid misinterpretation or ambiguity;
- Attainable – requires targets to be set that are observable, achievable, reasonable and credible under expected conditions as well as independently validated;
- Measurable – can be quantified/measured and may be either quantitative or qualitative;
- Used to identify trends – changes are infrequent, may be compared to other data over a reasonably long time and trends can be identified;
- Timely – achievable within the given timeframe;
- Understood – individuals and groups know how their behaviours and activities contribute to overall agency goals;
- Agreed – all contributors agree and share responsibility within the agency;
- Reported – regular reports are made available to all stakeholders and contributors;
- Governed – accountability and responsibility is defined and understood;
- Resourced – the program is cost effective and adequately resourced throughout its lifetime; and
- Assessed – regular assessment to ensure that they remain relevant.

2.4 Alignment with Strategic Direction

The following diagram by Bauer² illustrates the alignment of KPIs with an agency's strategic direction:



Figure 1: Strategic Alignment Pyramid

The records management strategy should contain high level, strategic KPIs for recordkeeping across the agency. The records management strategy should be in alignment with the strategic direction of the agency.

² Bauer, K 2004, *KPIs - The Metrics that Drive Performance Management*, Information Management and SourceMedia Inc., Brookfield USA, viewed 8 October 2009, <<http://www.dmreview.com/issues/20040901/1009207-1.html>>

2.5 Direct & Indirect Indicators

KPIs may consist of direct or indirect indicators.

An example of a direct indicator would be the total number of documents created within a set period of time. Direct indicators are very specific and can be easy to measure.

An example of an indirect indicator would be an environment where documents are identifiable and locatable when needed. Exactly what should be measured and how? Indirect indicators are not as easily measured as they are more difficult to quantify.

2.6 Use of Data Collected from KPIs

It is useful to note that the data collected from KPIs could be useful for many purposes. Examples include:

- Development of a 'benchmark' for like business functions, activities or services across an agency or agencies;
- Use of associated KPIs in individual staff performance appraisals;
- Continuous improvement initiatives;
- Balanced scorecard programs;
- Demonstrating and attributing business value from services;
- Evidential based improvement or changes to service delivery;
- Decision making in terms of risks and issues, as well as for broader planning purposes;
- Accreditation;
- Evidence for a business case;
- Raise the profile of records management; and
- Development of Service Level Agreements (SLAs).

Benchmarking is a valuable tool for measuring progress over time. Measurement occurs against one or more business units, the agency as a whole or various agencies. Benchmarking provides an understanding of how well an area is doing regarding an action or service in relation to others undertaking the same action or service.

Continuous learning initiatives include using the feedback received from measuring performance to review processes, structures and strategies. Rather than simply being a statistic that must be compiled, the KPI becomes part of the review processes of the agency.

The next section provides techniques on how to derive records management KPIs that are focussed on an agency's business outcomes.

3 How do I develop effective recordkeeping KPIs?

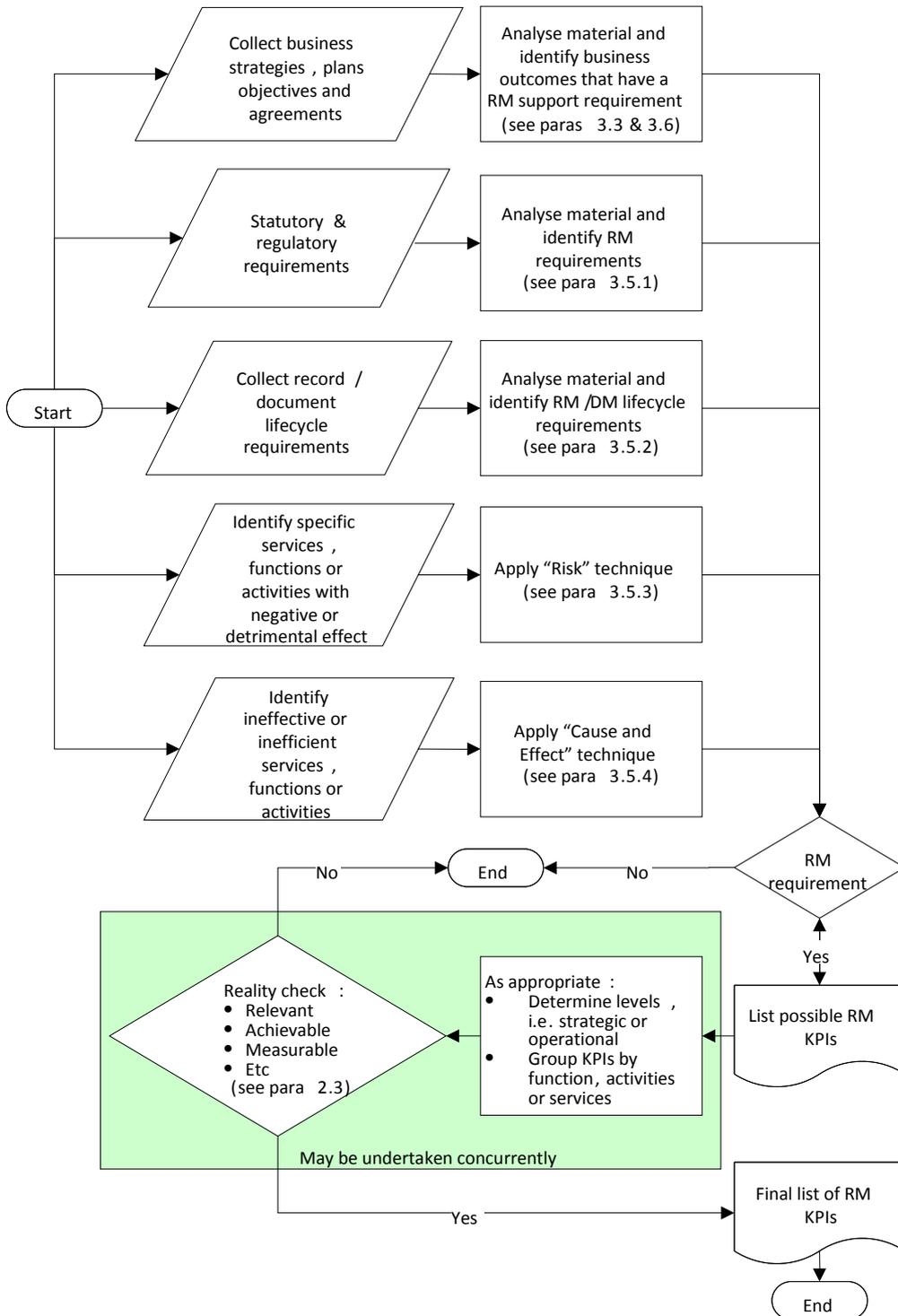


Figure 2: Process for Developing Records Management KPIs

3.1 Broad Approach

In developing records management KPIs it is important to examine an agency’s business functions, i.e., what does it do or produce.

There is a tendency to derive records management KPIs based on existing records management ‘day-to-day’ business activities. Where records management KPIs are derived solely from what goes on inside the records management unit, this can give a very narrow view of measures of success and can arrive at KPIs that fail to support overall business outcomes.

The previous section identified that KPIs should support an agency’s strategy, vision and objectives. This includes functions and activities imposed by a specific directive and may also include new initiatives such as an EDRMS project.

Accordingly, narrowly focussed approaches should be avoided. A broader approach is to use a range of business factors and techniques to arrive at a more holistic set of KPIs, as illustrated in Figure 4 below.

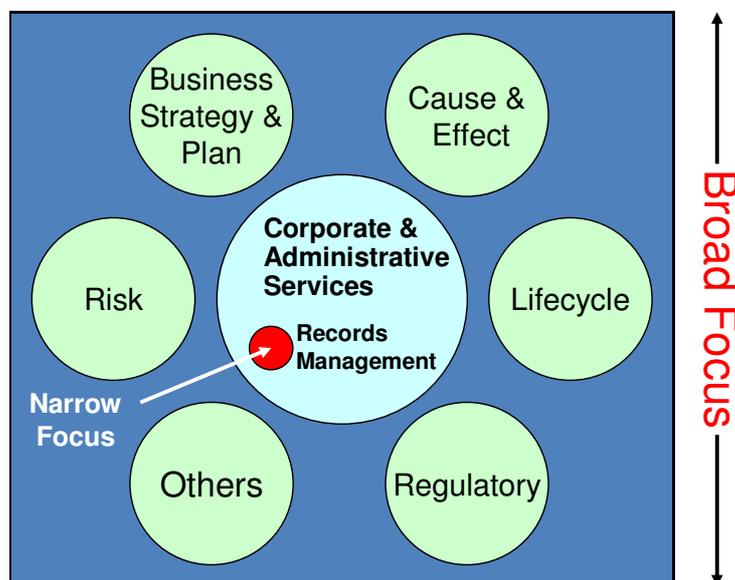


Figure 3: KPI Derivation

3.2 Business Functions

The derivation of relevant records management business functions should be based on an appropriate corporate plan and other key documents of a similar nature. In the case of Victorian government agencies, the most prevalent strategic document is an annual corporate plan. Corporate plans generally include roles, vision and mission, outcomes, key initiatives and other information upon which business functions and activities are based.

The agency’s records management strategy should be aligned with the strategic direction identified within the corporate plan. The records management strategy provides the direction for an agency’s records management programme. The key performance indicators located within the records management strategy should address key aspects of an agencies records management programme.

High level plans and guidance would need to be broken down into appropriate records management functions and activities from which records management KPIs could be developed.

There are a number of techniques that might assist in identifying and developing records management KPIs, including:

- Cause and effect;
- Risk based; and
- Lifecycle approach.

It is also possible to 'slice and dice' KPIs to match KPIs to the levels of responsibility as well as group similar KPIs to a category specific to the outcomes sought. These are:

- Developing KPIs at two levels – strategic and operational; and
- Grouping or aggregating KPIs into categories.

KPIs can be either quantitative or qualitative. Quantitative KPIs are likely to be based on system collected statistics such as number of users whereas qualitative KPIs may be based on more subjective measurements from user interviews and surveys. In some instances a more balanced view might be obtained by grouping and/or aggregating quantitative and qualitative based KPIs.

Section 3 concludes by setting out example records management functions, activities and services. These are subsequently developed further into detailed KPIs in section 4.

3.3 Limitations

Every agency is inherently different in terms of vision, strategy and objectives, as well as records management services and activities. Therefore, records management KPIs will also differ in detail and approach.

This document provides guidelines only, from which the agency should determine its specific records management KPIs measurements. The records management KPIs listed in this document may or may not be appropriate for all agencies in terms of records management functions and activities.

The Department of Treasury and Finance publication, *Investment Management Guideline – Benefit Management Plan* – should also be referred to. (See footnote below for link³.)

3.4 Approaches for Developing KPIs

There are a number of approaches to developing KPIs and some suggestions appear below. Agencies are encouraged to identify approaches that are most relevant to their unique business outcomes and activities.

3.4.1 Statutory & Regulatory Requirements

It may be appropriate to focus selection of KPIs on statutory and regulatory requirements and obligations.

For example, a KPI could be developed that requires the appropriate authority to undertake a regular audit to assess compliance with the *Public Records Act 1973* and other Victorian recordkeeping legislation. This could be based on the

³ Department of Treasury & Finance 2009, *Investment Management Guideline 3 – Benefit Definition*, State Government of Victoria, Melbourne, viewed 20 January 2009, <[http://www.dtf.vic.gov.au/CA25713E0002EF43/WebObj/DTFInvestmentManagementGuideline3-BENEFITDefinitionv3-5/\\$File/DTF Investment Management Guideline 3 - BENEFIT Definition v3-5.pdf](http://www.dtf.vic.gov.au/CA25713E0002EF43/WebObj/DTFInvestmentManagementGuideline3-BENEFITDefinitionv3-5/$File/DTF%20Investment%20Management%20Guideline%203%20-%20BENEFIT%20Definition%20v3-5.pdf)>.

Victorian Auditor-General's Office (VAGO) document, *Records Management Checklist: A tool to improve records management*⁴.

3.4.2 Lifecycle Approach

KPIs may be developed using the record lifecycle, as illustrated at Figure 5 below. KPIs would be developed for each life cycle stage:



Figure 4: Record Lifecycle

The use of a lifecycle approach to developing KPIs would ensure an agency takes into account KPIs at all stages of the life of a record, from creation to disposal.

Each stage could also be considered a lifecycle in its own right and appropriate KPIs developed.

The *Australian and International Standard for Records Management (AS ISO 15489)*, *PROV Standards and Advice*, and the *VAGO Records Management Checklist* are good starting points.

3.4.3 Risk Based

The risk based approach identifies those specific services, functions or activities that may have a negative or detrimental impact on the agency.

In general terms, there are a number of methods for identifying risk and these normally have two parameters:

- Likelihood/probability of a risk occurring, and
- The impact of a risk occurring⁵.

By identifying areas of risk, KPIs could be used to measure progress towards mitigating the risk.

Example	Likelihood	Impact	KPI
Loss/compromise of sensitive documents	Likely	Major	100% internal audit of sensitive documents bi-annually
Use of incorrect document version	Almost certain	Moderate	X% of users on EDRMS by [date]

3.4.4 Cause and Effect

A suggested approach is to examine specific areas of concern using the cause and effect technique.

The cause and effect technique might assist with identification of KPIs to address the fundamental or underlying cause of ineffective or inefficient services, functions or activities.

4 Victorian Auditor-General's Office 2008, *Records Management Checklist: A tool to improve records management*, State Government of Victoria, Melbourne, viewed 10 February 2009, <http://www.audit.vic.gov.au/reports_publications/reports_by_year/2008/20080730_records_checklist.aspx>.

5 Standards Australia, *AS/NZS ISO 31000 Risk management principles and guidelines*. Standards Australia, Sydney, 2009.

The approach analyses the cause(s) and identifies KPIs that address the effect. By addressing the effect, improvements can generally be achieved.

Example	Cause	Effect	KPI
Delivery of correspondence	Delivery to clients not meeting business requirement	Late responses to Ministerials	% delivery within x time twice per day
EDRMS availability	EDRMS unavailable on weekends	Users unable to access documents	Server availability to meet X% per month

3.4.5 Levels

It is also suggested that the agency base KPIs on two levels as follows:

- Strategic KPIs; and
- Operational KPIs.

It is important to note that some KPIs might be relevant and appropriate to both strategic and operational levels.

Strategic KPIs

Strategic KPIs should address the measurements required at a high level and take a top down approach, as illustrated in Figure 6 below. For example, strategic KPIs should start at or near the top of the pyramid and, in particular, address records management governance and accountability.



Figure 5: Strategic KPIs

Operational KPIs

Conversely, operational KPIs should be approached from the ground up. At this level, KPIs measure functions and activities of an operational nature, such as the delivery of records management services. This is shown in Figure 7 below:

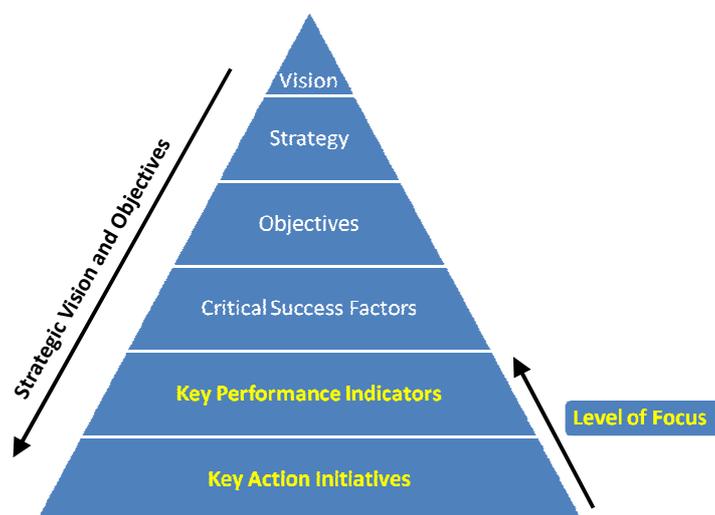


Figure 6: Operational KPIs

Strategic and operational level KPI examples are used in succeeding paragraphs of this section.

3.5 Records Management Functions, Activities & Services

This part of section 3 provides a starting point for developing KPIs based on records management functions, together with some KPI examples.

3.5.1 Functions

It is suggested that KPIs be first applied to each specific records management function that might be underway or planned in an agency.

The simplest approach is to first identify the key records management functions and activities that are essential to the effective delivery of records management services in the agency.

Records management functions and activities might encompass:

- Delivery of day-to-day records management services;
- EDRMS project delivery or day-to-day operations; and/or
- Integration of records management functions and activities with other business systems, policy programs and projects.

As suggested above, these could be viewed from both a strategic and operational level in order to develop KPIs.

3.5.2 Strategic

The head of the agency is responsible for ensuring records management is carried out within the agency in compliance with PROV standards. Normally, this is delegated to a subordinate manager. Nonetheless, the agency head is responsible for such matters as policy and procedures, compliance and to ensure that records services are appropriately resourced. Accordingly, KPIs might be based on:

- Governance;
- Compliance,
- Records management resources; and
- Training.

Other strategic KPIs should also be considered, as appropriate to the agency's vision, strategy and objectives.

KPIs	Benchmark	Comments
Governance	Documented policy and procedures Internal and external audits Number of audit findings	Structures and governance documented in organisation's policy and procedures
Compliance	Internal and external audits on an annual basis Number of achieved objectives and targets Number of audit findings Number of contracted service providers with record keeping programmes Time to respond to and correct non-compliance Number of identified corrective actions resolved/unresolved Frequency of reports Degree of compliance, number of corrective actions which have been resolved or unresolved Number of audit findings per period Frequency of review of policy and operating procedures	Meets statutory and other obligations
Records management resources	Adequacy compared to organisations in the same geography and jurisdiction Costs (operational and capital) Improvement in operating efficiency	Requires initial benchmarking followed by regular review Requires tracking
Investment in records management related education and training	Hours per annum Number of staff by course Cost	Requires tracking

3.5.3 Operational

There may or may not be a clear line that divides 'strategy' from 'operations'. The division may be delineated in documented roles, responsibilities, policy and procedures. However, delineation may be blurred as a result of factors such as actual staffing levels, delegations and 'assumed' roles and responsibilities.

Some of the KPIs listed under 'strategic' above may also appear at an 'operational' level. For example, both the head of a government agency and the agency's records manager may be allocated responsibility for the same KPIs with different (but complimentary) outcomes.

The following 'operational' level KPIs are examples only. Other functions, activities and services may sit in between these examples and 'strategic' KPIs and be allocated to either or both.

Operational records management services might include the day-to-day delivery of the following services:

Mail opening / email registration;

Correspondence registration and filing;

Delivery of records management services to clients;

- Sentencing;
- Client service;
- Compliance; and
- Procedures.

Others should also be considered, as appropriate to the agency's vision, strategy and objectives.

KPI	Benchmark	Comments
Mail opening / email registration	Items per hour	Requires tracking
Correspondence registration and filing	Items per hour Accuracy	Requires tracking Survey Issues, incidents, complaints and suggestions
Delivery to clients	Agreed times and quality	Requires tracking Survey Issues, incidents, complaints and suggestions System reports/logs across divisions
Sentencing and transfer (VEO and hard copy)	Files/records per annum	Requires tracking
Client service	Client satisfaction	Survey Issues, incidents, complaints and suggestions
Compliance	Internal and external audits on an annual basis Number of audit findings Time to respond to and correct non-compliance Number of identified corrective actions resolved/unresolved	Meets statutory and other obligations
Procedures	Frequency of review of procedures	Issues, incidents, complaints and suggestions

3.6 EDRMS

For some agencies introducing or maintaining an Electronic Document and Records Management System (EDRMS), KPIs may be based on project objectives as well as operational outcomes.

3.6.1 Strategic

Strategic KPIs associated with an EDRMS might include the following:

- EDRMS usage;
- Confidence in EDRMS;
- Finding information;
- Security;
- Quality;
- Efficiency; and
- Project time, cost and budget.

Other strategic KPI should also be considered, as appropriate to the agency's vision, strategy and objectives.

KPI	Benchmark	Comments
EDRMS usage	Percentage of users	System reports/logs across divisions
Confidence in EDRMS	Percentage of users satisfied with EDRMS	Survey Issues, incidents, complaints and suggestions
Finding information	Percentage of users	Survey System reports/logs across divisions
Security	Ratio of documents accessible only to individuals Number of documents restricted to workgroups Number of documents available organisation wide Number of times documents accessed and by who	System reports/logs across divisions
Quality	Appropriate use of Functional Business Classification Scheme (FBCS) for documents Staff confidence in quality	System administrator Survey Issues, incidents, complaints and suggestions
Efficiency	Reduction in rework and duplication Ease of use	Survey Issues, incidents, complaints and suggestions System reports/logs across division
Time, Cost and Budget	On Schedule Within Costs Within Budget	Project Plan Budget General Ledger

3.6.2 Operational

KPIs to support the operation of EDRMS might include the following:

- Registration;
- Accessing;
- Searching;
- Duplicates;
- Quality;
- Efficiency;
- System availability; and
- Time, cost and budget.

Others should also be considered, as appropriate to the agency's vision, strategy and objectives.

For EDRMS projects, KPIs may focus on project delivery in terms of cost and time by stage/phase.

KPI	Benchmark	Comments
Registration	Number of staff and percentage of time registering documents Time / number processed Percentage of total documents in the EDRMS	System reports/logs across divisions
Accessing	Percentage of staff accessing documents	System reports/logs across divisions
Searching	Percentage of staff searching for documents Time to locate documents subject to FOI requests Staff confidence in finding right information Time to identify relevant documents Time to retrieve documents	System reports/logs across divisions Survey
Duplicates	Number of duplicates in repository Number of duplicates as a percentage of the total documents	System reports/logs across divisions
Quality	Appropriate use of Functional Business Classification Scheme (FBCS) for documents Staff confidence in service	System administrator Survey
Efficiency	Reduction in rework and duplication Ease of use	Survey Issues, incidents, complaints and suggestions System reports/logs across division
System availability	Percentage of time	System reports/logs
Time, cost and budget	On schedule Within budget Within costs	Project plan Budget General ledger

3.7 Integration

3.7.1 Strategic

Integration is generally associated with electronic systems. However, it could be broadened to take into account integration of records management with policy programs and other projects in an agency

The integration of systems and other automated processes to support records management is often complex, expensive and lengthy. Strategic KPI will be dependant on the type of integration and may be cross-organisational.

The following are suggestions for system integration:

- Business processes (suggest limit to relevant, core functions that are critical to the business); and
- Efficiency (suggest limit to existing system functionality such as workflow).

KPI	Benchmark	Comments
Business processes	Number of business processes	System reports/logs across divisions
Efficiency	Number of approvals Timeframe for approvals	System reports/logs across divisions

Other KPIs that could be considered are the number of information systems (current and planned) that:

- Include a requirement to keep records;
- Are reliable and accurate;
- Comply with recordkeeping requirements regardless of whether they integrate with the EDRMS; and
- Interoperate with the EDRMS.

Further integration KPIs, not specifically associated with electronic sources but important to records management, might relate to:

- Policy programs; and
- Other projects.

Other management KPIs should also be considered, as appropriate to the agency's vision, strategy and objectives.

3.7.2 Operational

Similar to strategic KPIs, operational KPIs for integration will be dependant on the type of integration and may be cross-organisational. The following example KPIs are based on workflow integration:

- Business processes; and
- System availability.

Others should also be considered, as appropriate to the agency's vision, strategy and objectives. In particular, these KPIs may focus on project delivery in terms of cost and time.

KPI	Benchmark	Comments
Business processes	Number of new business processes and changes	Survey System reports/logs across divisions
System availability	Percentage of time	System reports/logs

3.8 Grouping KPIs into Categories

It may be useful to group KPIs into categories based on the agency's vision, strategy and objectives. Grouping into categories may also assist in testing KPI applicability, relevance and potential overlaps or conflicts. However, agencies should note that grouping is discretionary and may not be required or add value at all.

Should agencies wish to group KPIs, the example categories listed below may serve as a starting point:

- Performance – services are relevant and appropriate to the organisation.
- Reliability – service delivery is consistent, reliable, dependable and trustworthy.
- Responsiveness and timeliness – responses to client requests and delivery of services are within timeframes and other measures.
- Relationships – team members deliver services with tact, recognition, regard, and thoughtfulness.

- Resources – time, budget and cost measures.
- Secure – protect integrity and privacy of data.

The important test, however, is that KPI categories must collectively support business outcomes. Examples of KPIs and groupings commence in section 4, using a number of (but not all) KPIs previously identified in this section.

3.9 Reality Check

The next step in the process is to ensure KPIs are realistic, measurable and achievable. This step could also be undertaken as KPIs are developed, socialised and agreed.

A suggested starting point for the reality check is the list of characteristics (Section 2.3). Other criteria pertinent to the agency and its business requirements may also apply.

3.10 Assessment

KPIs should be assessed for continued relevance and achievability regularly. At minimum, this should be every business planning cycle. Drivers for assessment of the KPI include the following:

- Administrative change;
- Machinery of Government change;
- Changes in systems or processes;
- Changes in organisational structure;
- Changes in strategic direction; and
- Legislative or regulatory change.

Relevant and up-to-date KPIs are more likely to be valued by the agency and the staff collecting data for them. If KPI's aren't providing useful and meaningful information to decision makers they will not be assisting the agency to measure the achievement of its goals.

4 Example KPIs & Categories

Examples of KPIs grouped into categories are provided below. The examples are based on those developed in previous sections of the document together with KPIs derived from DEECD Corporate Plan 2008-09 to 2010-11 (see Appendix 2) and KPIs actually used by the records management Unit at the City of Greater Dandenong.

Some examples intentionally illustrate how the same measure could apply to more than one KPI and it is important to note that KPI may have more than one measurement criteria.

Please note that the below examples are not an exhaustive list. Agencies should choose from the list examples that are of direct relevant or that could be modified to suit the agency's specific situation. The examples are indicative only the agency should interpret the examples based on their own circumstances. A simple rule to follow is that all KPIs must have measures but not all measures are KPIs.

The following abbreviations are used in the below tables:

AS = Australian Standard;

BCS = Business Classification Scheme;

CEO = Chief Executive Officer;

CIO = Chief Information Officer;

EDRMS = Electronic Document & Records Management System;

FOI = Freedom of Information;

RM = Records Management;

SLA = Service Level Agreement;

VAGO = Victorian Auditor-General's Office;

VEO = VERS Encapsulated Object; and

VERS = Victorian Electronic Records Strategy.

IM = Information Management;

ISO = International Standardisation Organisation;

PROV = Public Record Office Victoria;

QA = Quality Assurance

RK = Recordkeeping;

Performance

Services are relevant and appropriate to the agency.

KPI	Benchmark	Possible Measures	Possible Target	Method	Responsible Owner	Frequency	Undertaken By
Governance	Documented records management strategy	Current and workable records management strategy	100% complete, relevant and up to date	Review and report	Board/Secretary/CEO	Annual	CIO
Governance	Documented records management policy and procedures	Structures and governance documented in organisation's policy and procedures	100% complete, relevant and up to date	Review and report	Board/Secretary/CEO	Annual	CIO
Governance/ Compliance	Records & other legislation, PROV standards and advices	Level of compliance (could be based on VAGO ⁶ , AS ISO 15489 or other checklist)	Level(s) of compliance based on objective and/or subjective assessment.	Review and report Internal/ external audit	CIO	Annual	Records manager
Governance/ Compliance	VAGO Checklist ⁶	Principles and elements in VAGO checklist	Meets x of the 7 principles to an average level of xx% for each principle Meets x elements of principles 1 to 7 (identify x for each	Review and report Internal/ external audit	CIO	Annual	Records manager

⁶ A tool to provide practical assistance is the VAGO document, *Records Management Checklist: A tool to improve records management*. See http://www.audit.vic.gov.au/reports_publications/reports_by_year/2008/20080730_records_checklist.aspx accessed 10 February 2009.

			principle) Some combination of the above				
Governance	Organisations IM/RM/RK objectives, goals and plans	Objectives and goals stated in strategic and operational plans, instructions, procedures etc	Meets xx objectives/goals with exceptional/high/acceptable/unacceptable level of service (identify for each objective/goal and service)	Review and report Internal/ external audit	CIO	Annual	Records manager
Governance/ Compliance – an example of an IM/RM/RK objective, goal, plan	Storage plan, including sentencing and transfer to PROV (VEO and hard copy)	Plan developed, approved and implemented.	100% complete, relevant and up to date x transfers to PROV	Review and report	CIO	Annual	Records manager
Governance/ Compliance – an example of an IM/RM/RK objective, goal, plan	Alignment of information/records classifications (might also include taxonomy, thesauri)	File structure and naming conventions (shared drive, other business applications) align with BCS, taxonomy	100% complete, relevant and up to date	Review and report	CIO	Annual	Records manager/ information manager
Governance	RM risk assessment & management	Current risk log and mitigation program	100% complete, relevant and up to date	Review and report	CIO	Annual	Records manager
Governance/ Compliance	Internal/external audit ⁶	Internal/external audits undertaken	100%	Review and report	CIO	Internal – bi-annual External – annual	Internal – record services External - contractor
Governance/ Compliance	Audit findings	Number and severity	Zero severity 1 Less than 5 severity 2	Review and report	CIO	In accordance with audit schedule	Record services in conjunction with internal audit Risk assurance
Governance	Release of information	Plan developed,	X data sets	Review and	CIO	Annual	Information

		objective goals stated	released per year	report			manager
Correspondence registration and filing	Items per hour	Number	30	System reports/logs across divisions	Records supervisor	Daily	Records manager
Correspondence registration and filing	Accuracy	Number	95% correct	Review and report	Records supervisor	Random sample once per week	Records manager
EDRMS usage	Percentage of users	Number	30% in year 1 70% in year 2 100% in year 3	System reports/logs across divisions	Project manager/records manager	Annual	CIO
Mobile technology governance	breaches	number	0	System reports/logs across division	Records supervisor	quarterly	Records manager
Records management resources	Adequacy compared to similar organisations in the same geography and jurisdiction	Number	Within 10% (once benchmarked)	Review and report	Board/Secretary/CEO	Annual	CIO
Service improvement	Processes/services reviewed and improved	Number	X per year	Review and report	Board/Secretary/CEO	Annual	CIO
Security and access	Breaches	Number	0	Media reports System audits and reports Audit/census of physical holdings Review access and security policy and process	Business owner Records/system manager	Annual	CIO Risk assurance Legal
Physical storage of documents and records	Appropriate storage facilities	Compliance with standards	95% compliance	Random sampling Audit Security	Records manager	Annually	Internal/external audit

Reliability

Service delivery is consistent, reliable, dependable and trustworthy.

KPI	Benchmark	Possible Measures	Possible Target	Method	Responsible Owner	Frequency	Undertaken By
Service delivery	Agency's IM/RM/RK objectives and goals	Objectives and goals stated in strategic and operational plans, instructions, procedures etc	Meets xx objectives/goals with exceptional/high/acceptable/unacceptable level of service (identify for each objective/goal and service)	Review and report Internal/external audit	CIO	Annual	Records manager
Service delivery	Agency's IM/RM/RK Service Level Agreements (SLA)	SLA measures	Meets xx SLA measures at x level (identify for each SLA and service)	Review and report Internal/external audit	CIO	Annual	Records manager
Quality	Staff confidence in service	Numbers/grading in response to questionnaire	x% at a set level	Survey	CIO	Bi-annual	Internal QA
Reliability of EDRMS	Percentage of users	Number of issues Number of incidents Number of complaints Number of suggestions	No more than x per month	System reports/logs across divisions	Records manager	Monthly	Team leader
EDRMS performance	Ease of use	Number of complaints	No more than x per month Meets objectives, goals &	Reports & surveys	Records manager	Monthly	Team Leader

		Number of suggestions Improvement objectives, goals & plans	plans within set timeframe				
EDRMS performance	Search	Time to complete simple and complex search	Time taken Quality of result	Reports & surveys System reports/logs across divisions	Records manager	Monthly	Team Leader & users
EDRMS performance	Record entry	Time to enter record	Time taken Quality of result	Reports & surveys System reports/logs across divisions	Records manager	Monthly	Team Leader & users
EDRMS availability	Percentage of time	Uptime	xx.xx% per month	System reports/logs	Project manager/records manager	Monthly	CIO
EDRMS currency	Upgrades and patches	Up to date	No more than 6 months behind	System reports/review	System/records manager	Bi-annual	CIO
Disaster recovery	Appropriate plan	Current and workable plan (any testing to be in accordance with corporate/IT plan)	100% complete, relevant and up to date	Review (any testing to be in accordance with corporate/IT plan)	System/records manager	Annual	CIO
Digitisation Plan	Plan approved. Certificate submitted.	current	100% complete, relevant and up to date	Review	Records Manager	Bi-annual Annual	CIO
Business continuity	Appropriate plan	Current and workable plan Test plan (in	100% complete, relevant and up to date Plan satisfactory when tested	Review Test	System/records manager	Annual	CIO

		accordance with corporate/IT plan)					
Use of correct document version	Duplicates Users on EDRMS	Number of duplicates in EDRMS (and shared drives) Number	0 30% in year 1 70% in year 2 100% in year 3	Run utility program System reports/logs across divisions	Project manager/records manager	Monthly Annual	CIO

Responsiveness & Timeliness

Responses to client requests and delivery of services are within timeframes and other measures. Agencies may wish to separate this category into two parts – requests and delivery.

KPI	Benchmark	Possible Measures	Possible Target	Method	Responsible Owner	Frequency	Undertaken By
Requests from clients	Agreed response times for different request	Time	X% response within x time	System reports/logs across divisions	Records supervisor/ system supervisor	Monthly	Records manager
Delivery to clients	Agreed times for delivery of different service types	Time	X% delivery within x time and/or Maintain a minimum of X%	Survey and/or system reports/logs across divisions	Records supervisor/ system supervisor	Monthly	Records manager
Delivery to clients	Agreed times for delivery of different service types	By exception based on: Number of issues Number of incidents Number of complaints Number of suggestions	No more than x per month	Survey and/or system reports/logs across divisions	Records supervisor/ system supervisor	Monthly	Records manager
FOI requests	Agreed times to	FOI received	X% completed per	Survey and/or	Records supervisor/	Monthly	Records

	complete requests	FOI completed FOI lapsed FOI withdrawn FOI to complete	month Others as reported.	system reports/logs	system supervisor		manager or FOI manager
Retrieval of files/storage boxes	Agreed times to complete requests	Total file requested & retrieved on-site Total file requested & retrieved off-site Total boxes requested & retrieved off-site Cost	X% retrieved within x time and/or Maintain a minimum of X% Within +10% of budget	Survey and/or system reports/logs Invoices	Records supervisor/ system supervisor	Monthly Quarterly	Records manager

Relationships

Team members deliver services with tact, recognition, regard and thoughtfulness.

KPI	Benchmark	Possible Measures	Possible Target	Method	Responsible Owner	Frequency	Undertaken By
Client service	Client satisfaction	Numbers/grading in response to questionnaire	x% at a set level	Survey Focus groups	CIO	Bi-annual	Internal QA
Client service	Client satisfaction	By exception based on: Number of issues Number of incidents Number of complaints	No more than x per month	Survey and/or system reports/logs across divisions	Records supervisor/system supervisor	Monthly	Records manager
Investment in records management related	Hours (records management)	Number	X hours per annum	Review and report	CIO	Annual	Records manager

training and education	staff and users)						
Investment in records management related training and education	Number of staff per course (records management staff and users)	Number by course	X staff by course	Review and report	CIO	Annual	Records manager
Investment in records management related training and education	Cost	Per staff member	X\$ per staff member	Review and report	CIO	Annual	Records manager
Effectiveness of records management related training and education	Client/management satisfaction	Numbers/grading in response to questionnaire	x% at a set level	Survey	CIO	Bi-annual	Internal QA

Resources

Time, budget and cost measures.

KPI	Benchmark	Possible Measures	Possible Target	Method	Responsible Owner	Frequency	Undertaken By
Records management resources	Improvement in operating efficiency	Improvement in services with no increase in cost	X new services	Review and report	Records manager	Annual	Records supervisor/system administrator
Records management resources	Improvement in operating efficiency	Reduced cost	X\$ reduction	Review and report	CIO	Annual	Records manager
Investment in records management related training and education	Cost	Per staff member	X\$ per staff member	Review and report	CIO	Annual	Records manager
Return on Investment (ROI)	As per proposal, business case etc	As per proposal, business case etc	As per proposal, business case etc	Survey and/or system reports/logs across divisions	CIO	As per proposal, business case etc	Records manager

5 Reporting on KPIs

Example reports using some of the KPIs above, in “dashboard’ format, is illustrated below:

- Strategic KPIs;
- Operational KPIs; and
- Project KPIs.

5.1 Strategic KPIs

An example report on strategic management responsibilities, based on KPIs listed in the tables at section 4, is shown below.

<p>Performance</p> <p>Records Management Policy and Procedures Current and up to date. <i>Last Review [Date] Next Review [Date]</i></p> <p>Compliance <i>Last Audit [Date] Next Audit [Date]</i></p> <table border="1"> <thead> <tr> <th><i>Element</i></th> <th><i>Resolution</i></th> </tr> </thead> <tbody> <tr> <td>IM framework established</td> <td>x</td> </tr> <tr> <td>Records management strategy or plan</td> <td>x</td> </tr> <tr> <td>Performance monitoring</td> <td>x</td> </tr> </tbody> </table> <p>Risk (see table below)</p> <p>Reliability</p> <p>System Availability</p> <table border="1"> <thead> <tr> <th><i>Actual</i></th> <th><i>Target</i></th> </tr> </thead> <tbody> <tr> <td>xx.x%</td> <td>xx.x%</td> </tr> </tbody> </table>	<i>Element</i>	<i>Resolution</i>	IM framework established	x	Records management strategy or plan	x	Performance monitoring	x	<i>Actual</i>	<i>Target</i>	xx.x%	xx.x%	<p>Help Desk</p> <table border="1"> <thead> <tr> <th></th> <th><i>Received</i></th> <th><i>Resolved</i></th> </tr> </thead> <tbody> <tr> <td>Number of issues</td> <td>x</td> <td>x</td> </tr> <tr> <td>Number of incidents</td> <td>x</td> <td>x</td> </tr> <tr> <td>Number of complaints</td> <td>x</td> <td>x</td> </tr> <tr> <td>Number of suggestions</td> <td>x</td> <td>x</td> </tr> </tbody> </table> <p>Responsiveness & Timeliness (by exception) x complaints during month – target x</p> <p>Resources</p> <p>Staff</p> <table border="1"> <thead> <tr> <th><i>Plan</i></th> <th><i>Current</i></th> </tr> </thead> <tbody> <tr> <td>x</td> <td>x</td> </tr> </tbody> </table> <p>Cost & Budget</p> <table border="1"> <thead> <tr> <th><i>Mth costs actual</i></th> <th><i>Mth cost tgt</i></th> <th><i>Costs yr to date</i></th> <th><i>Costs yr to date tgt</i></th> <th><i>Budget variance</i></th> </tr> </thead> <tbody> <tr> <td>x</td> <td>x</td> <td>x</td> <td>x</td> <td>+/- x</td> </tr> </tbody> </table>		<i>Received</i>	<i>Resolved</i>	Number of issues	x	x	Number of incidents	x	x	Number of complaints	x	x	Number of suggestions	x	x	<i>Plan</i>	<i>Current</i>	x	x	<i>Mth costs actual</i>	<i>Mth cost tgt</i>	<i>Costs yr to date</i>	<i>Costs yr to date tgt</i>	<i>Budget variance</i>	x	x	x	x	+/- x
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<i>Risk</i>	<i>Likelihood</i>	<i>Impact</i>	<i>Mitigate</i>	<i>Owner</i>
Loss/compromise of sensitive documents	Likely	Major	Use approved security containers	Records Management
Use of incorrect document version	Almost certain	Moderate	X% of users on EDRMS by [date]	Records Management

5.2 Operational KPIs

An example report on records management operations, based on KPIs listed in the tables at section 4, is shown below.

Performance				Reliability				
Registration				Service Delivery				
	<i>Registered in reporting Month</i>	<i>Total</i>	<i>Target</i>		<i>Received</i>	<i>Resolved</i>		
Folders	x	x	x	Number of issues	x	x		
Storage boxes	x	x	x	Number of incidents	x	x		
Corro	x	x	x	Number of complaints	x	x		
Electronic documents	x	x	x	Number of suggestions	x	x		
Sentencing				Responsiveness & Timeliness (by exception)				
<i>Files Sentenced</i>			<i>Target</i>	x complaints during month – target x				
Repository A			x	Resources				
Repository B			x	Staff				
BCS				<i>Plan</i>				
Current and up to date.				x				
<i>Last Review [Date] Next Review [Date]</i>				<i>Current</i>				
Risk				x				
(see table below)				Cost & Budget				
				<i>Mth costs actual</i>	<i>Mth cost tgt</i>	<i>Costs yr to date</i>	<i>Costs yr to date tgt</i>	<i>Budget variance</i>
				x	x	x	x	+/- x

<i>Risk</i>	<i>Likelihood</i>	<i>Impact</i>	<i>Mitigate</i>	<i>Owner</i>
Loss/compromise of sensitive documents	Likely	Major	Clear desk policy – daily checking roster	Records Management
Staff unavailability	Almost certain	Moderate	Cross training of staff Standing arrangement with temp agency	Records Management

5.3 Project KPIs

An example report for an EDRMS project, based on KPIs listed in the tables at section 4, is shown below.

<p>Performance</p> <p>EDRMS usage is now 55% of staff across the organisation against a target of x%. In total, at the end of xx:</p> <table border="1"> <thead> <tr> <th></th> <th><i>Achieved</i></th> <th><i>Target</i></th> </tr> </thead> <tbody> <tr> <td>Staff trained</td> <td>x</td> <td>x</td> </tr> <tr> <td>Desktops have EDRMS</td> <td>x</td> <td>x</td> </tr> <tr> <td>Accounts are active</td> <td>x</td> <td>x</td> </tr> </tbody> </table> <p>Reporting Month Statistics</p> <table border="1"> <thead> <tr> <th><i>Achieved</i></th> <th><i>Achieved</i></th> <th><i>Target</i></th> </tr> </thead> <tbody> <tr> <td>Staff trained</td> <td>x</td> <td>x</td> </tr> <tr> <td>Desktops have EDRMS</td> <td>x</td> <td>x</td> </tr> <tr> <td>Accounts activated</td> <td>x</td> <td>x</td> </tr> </tbody> </table> <p>New Records Registered</p> <table border="1"> <thead> <tr> <th></th> <th><i>Registered in reporting Month</i></th> <th><i>Total</i></th> <th><i>Target</i></th> </tr> </thead> <tbody> <tr> <td>Folders</td> <td>x</td> <td>x</td> <td>x</td> </tr> <tr> <td>Storage boxes</td> <td>x</td> <td>x</td> <td>x</td> </tr> <tr> <td>Corros</td> <td>x</td> <td>x</td> <td>x</td> </tr> <tr> <td>Electronic documents</td> <td>x</td> <td>x</td> <td>x</td> </tr> </tbody> </table>					<i>Achieved</i>	<i>Target</i>	Staff trained	x	x	Desktops have EDRMS	x	x	Accounts are active	x	x	<i>Achieved</i>	<i>Achieved</i>	<i>Target</i>	Staff trained	x	x	Desktops have EDRMS	x	x	Accounts activated	x	x		<i>Registered in reporting Month</i>	<i>Total</i>	<i>Target</i>	Folders	x	x	x	Storage boxes	x	x	x	Corros	x	x	x	Electronic documents	x	x	x	<p>Reliability</p> <p>Received in the reporting month:</p> <table border="1"> <thead> <tr> <th></th> <th><i>Actual</i></th> <th><i>Target</i></th> </tr> </thead> <tbody> <tr> <td>Number of issues</td> <td>x</td> <td>x</td> </tr> <tr> <td>Number of incidents</td> <td>x</td> <td>x</td> </tr> <tr> <td>Number of complaints</td> <td>x</td> <td>x</td> </tr> <tr> <td>Number of suggestions</td> <td>x</td> <td>x</td> </tr> </tbody> </table> <p>System Availability</p> <table border="1"> <thead> <tr> <th><i>Actual</i></th> <th><i>Target</i></th> </tr> </thead> <tbody> <tr> <td>x%</td> <td>x%</td> </tr> </tbody> </table> <p>Responsiveness & Timeliness (by exception) x complaints during month – target x</p> <p>Resources</p> <p>Project Plan</p> <table border="1"> <thead> <tr> <th><i>Current Activity</i></th> <th><i>Planned Activity</i></th> </tr> </thead> <tbody> <tr> <td>x</td> <td>x</td> </tr> </tbody> </table> <p>Cost & Budget</p> <table border="1"> <thead> <tr> <th><i>Mth costs actual</i></th> <th><i>Mth cost tgt</i></th> <th><i>Costs yr to date</i></th> <th><i>Costs yr to date tgt</i></th> <th><i>Budget variance</i></th> </tr> </thead> <tbody> <tr> <td>x</td> <td>x</td> <td>x</td> <td>x</td> <td>+/- x</td> </tr> </tbody> </table>						<i>Actual</i>	<i>Target</i>	Number of issues	x	x	Number of incidents	x	x	Number of complaints	x	x	Number of suggestions	x	x	<i>Actual</i>	<i>Target</i>	x%	x%	<i>Current Activity</i>	<i>Planned Activity</i>	x	x	<i>Mth costs actual</i>	<i>Mth cost tgt</i>	<i>Costs yr to date</i>	<i>Costs yr to date tgt</i>	<i>Budget variance</i>	x	x	x	x	+/- x
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Victorian Auditor-General's Office 2008, *Records Management Checklist: A tool to improve records management*, State Government of Victoria, Melbourne, viewed 10 February 2009, <http://www.audit.vic.gov.au/reports_publications/reports_by_year/2008/20080730_records_checklist.aspx>.

Standards

Standards Australia 2002, *AS ISO 15489 Australian standard on records management*. Standards Australia, Sydney.

Standards Australia 2009, *AS/NZS ISO 31000 Risk management principles and guidelines*. Standards Australia, Sydney.

Other Resources

For more information about Key Performance Indicators for records management please contact:

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

Appendix 1: The Analysis of Strategic Priorities and the Development of KPIs

It is important when developing KPIs to understand the interrelationships between the strategic priorities of the agency and measurement. The following is a table to assist with conducting the analysis. DEECD has been used as a case study here and the table includes key points from DEECD Interim Corporate Plan, 2008-09 to 2010-11. All information below is a direct quotation from the DEECD document.

The approach used is to first summarise the key components of the strategic plan, as shown below. The summary is generally a paraphrase from the original strategy and/or plan, although in some cases, an abridgement may be used. If abridging a strategy and/or plan, it is very important to retain the essence and intent of the original document.

The next step is to ask the question “what does this mean to records management or recordkeeping? Do we require systems, resources, new or revised services, changes to policy, procedures or business rules?”

Finally, identify the indicative deductions that are expected to have an impact on records management as “factors” in **bold text**. The factors in the boxes below are not inclusive and others could be drawn also.

Context

Improving the living standards of Victorians will depend on our people: how healthy, skilled and motivated we are to contribute effectively to our society.

- **broad functions across society**

All aspects of early childhood services and education should help children to enter adulthood equipped for the world in which they will live.

- **continuous progression**

improve the learning, development, health and wellbeing of Victorian children.

- **integrated across functions**

children’s development is a continuous process from birth to adulthood, and government services must reflect this

- **interconnection between early, primary and secondary**

to provide each child with the best opportunity

- **focussed on individuals**

in partnership with all other Australian jurisdictions, along with representatives of the Catholic and independent school sectors ... collaborative federalism in education and early childhood development

- cross jurisdictional and non government entities

Role

DEECD brings together a range of services for young people from before birth to the beginning of adulthood.

The Department has four main responsibilities:

1. Provide policy advice to our Ministers about education, early childhood development and children's services in general

- **ministerials and FOI**

2. Implement Victorian government policy on early childhood services

3. Implement Victorian government policy on school education for all school age students

- **interconnections between early, primary and secondary**

4. Manage and drive continuous improvement in the delivery of primary and secondary education in Victorian government schools.

- **large number of geographically dispersed locations and volumes of records**

Within these responsibilities, the Department is focused on the provision of services to children. These services are provided both directly and indirectly – directly through government schools, and indirectly through regulation or funding of early childhood services and non-government school education.

- **non government entities**

The Department works in conjunction with four statutory authorities: the Victorian Curriculum and Assessment Authority (VCAA), the Victorian Registration and Qualifications Authority (VRQA), the Victorian Institute of Teaching and the Merit Protection Boards.

The statutory authorities are important partners in the delivery of high standards of education in Victoria and are essential to the achievement of the Department's vision and mission.

- **inter agency dependencies**

Working with our partners:

Build more effective relationships and partnerships across government

Engage with other state, local and Commonwealth Government departments and agencies

Within the State Government, the Department needs to maintain particularly strong relationships

Working closely with local government

In the context of the COAG productivity agenda, cooperation with the Commonwealth Government will also be an important focus

Vision and Mission

Our vision is that:

Every young Victorian thrives, learns and develops, to enjoy a productive, rewarding and fulfilling life, while contributing to their local and global communities.

- **broad functions across society**

Our mission is to:

Ensure a high quality, coherent birth to adulthood learning and development system to build the capability of every young Victorian.
- **continuous progression**

Outcomes

Children: 0–8 years

- Children have the best start in life to achieve optimal health, development and wellbeing
- Children acquire the basic skills for life and learning
- All children have access to affordable, quality early childhood education in the years before schooling
- Quality early childhood education and care supports the workforce participation choices of parents with children in the years before formal schooling

Children: 8–16 years

- All children are engaged in and benefiting from schooling
- Children are meeting expected literacy and numeracy standards, and overall levels of literacy and numeracy are improving
- Victorian students excel by national and international standards

Young people: 16+ years

- Young people make a successful transition from school to further education and/or work that provides further training opportunities.

- **broad functions across society**

- **continuous progression**

- **measurement and reporting**

- **engagement with broad range of people and entities**

Corporate priority 1:

Increase access to, and achieve high quality early childhood development services

...Strong partnerships and coordination across all sectors of government and other providers

- **inter government, cross jurisdictional and non government entities**

Corporate priority 2:

Achieve public confidence in a world-class school education system with a strong and vibrant government school sector at its core

...community confidence

- **confidence in information and records**

Corporate priority 3:

Integrate services for children and families

...build a strong learning and development system for all children from birth to adulthood, with effective partnerships across all tiers of government, the private sector, community agencies, other providers and the wider Victorian community.

- **focussed on individuals**

- **interconnection between early, primary and secondary**

- **inter government, cross jurisdictional and non government entities**

Corporate priority 4:

Improve outcomes for disadvantaged young Victorians

...the development and learning of children from low socioeconomic backgrounds is where it has to make the greatest progress ...those areas of our society particularly affected by disadvantage – including Indigenous children and families, recent/high-need immigrant (including refugee) children and families, families affected by disability or chronic disadvantage, and families with complex needs (including children in and out of home care) – ...

- **engagement with broad range of people and entities**

Strategies

The Department cannot achieve our fundamental goal of improving outcomes for children without a holistic approach to drive the education and early childhood development reform agendas.

To achieve the reform we need, over the next five years we will concentrate on three areas:

partnerships with parents and communities, system development and reform, and workforce reform.

Strategy 1:

System development and reform

...services that support continuity of learning for children throughout the early years, from early childhood education and care through to the early years of schooling

...a holistic and seamless approach to the education and care of children 0–8 years...

- **interconnection between early, primary and secondary**

- **continuous progression**

...improve the integration of 0–8 learning, care and health services and increase access, quality and the level of participation in services. We must enhance early intervention for children from disadvantaged backgrounds or with additional needs, such as a disability or developmental delay...

- **engagement with broad range of people and entities**

...a statewide system in both government and non-government schools that reflects a culture of excellence for every student and every teacher in every learning environment

- **focussed on individuals**

- **non government entities**

...every school must be must be challenged and supported...

- **large number of geographically dispersed locations and volumes of records**

Strategy 2:

Workforce reform

Early childhood and school professionals underpin the delivery of quality learning and development...

...the best people must be attracted to teaching and other school professions...

Principals have a major role to play in teacher and school performance and should have the capacity as well as accountability to act at a local level.

We need to do more to attract, develop and retain teachers and early childhood professionals of the highest calibre.

- **focussed on individuals**
- **large number of geographically dispersed locations and volumes of records**

Strategy 3:

Partnerships with parents and communities

Effective partnerships between schools, families, local communities and business...

- **engagement with broad range of people and entities**

Measurement

As we work towards achieving our corporate priorities, it will be critical that we monitor progress along the way, continually reflecting on what we have learnt and adjusting our strategies accordingly. Ultimately, success will be measured by whether or not we have achieved our stated outcomes. We will need to examine progress regularly and be responsive to change.

...Each year we will evaluate our progress against an agreed set of progress measures.

- **align records management KPI with outcome measures, where applicable and practical**

Having conducted the first level analysis above, prepare a table of KPIs as shown below.

Records Management KPIs – Corporate Plan Analysis

The deduced factors from the Corporate Plan, together with suggested KPIs, were grouped and listed, as depicted in the tables below.

Broad functions

The functions accommodate a broad cross section of government, society, interest groups, entities and agencies.

KPI	Benchmark	Possible Measures	Possible Target	Method	Responsible Owner	Frequency	Undertaken By
Appropriateness of Business Classification Scheme (BCS)	Frequency of reviews	Number per year	Two	Review and report		Annual	

Integration across functions

There are sufficient business rules in the system and documents/records to ensure strong linkages between associated documents/records.

KPI	Benchmark	Possible Measures	Possible Target	Method	Responsible Owner	Frequency	Undertaken By
Scope notes, metadata and other linking rules are relevant and current	Frequency of reviews	Number per year	Two	Review and report		Annual	
Document/record relevance	Client satisfaction	Number of issues Number of incidents Number of complaints	No more than x per month	Survey and/or system reports/logs (possibly search function)		Monthly	

Continuous progression/interconnection between early, primary and secondary levels⁷

Appropriate to user privileges, relevant information is available on individuals or other matters such as curriculum across early, primary and secondary school levels.

KPI	Benchmark	Possible Measures	Possible Target	Method	Responsible Owner	Frequency	Undertaken By
Records are available at all levels	Percentage of users at all levels	Number	30% in year 1 70% in year 2 100% in year 3	System reports/logs across levels		Annual	
Edutrack is available to all users at all locations	Percentage of locations	Number	30% in year 1 70% in year 2 100% in year 3	System reports/logs across locations		Annual	
Document/record relevance	Client satisfaction	Number of issues Number of incidents Number of complaints	No more than x per month	Survey and/or system reports/logs (possibly search function)		Monthly	
Access/security appropriate to users and the information	Frequency of reviews	Number per year	Two	Review and report		Annual	

⁷ Note that the strategic plan leads to the logical conclusion that records extend into schools. However, the edutrack project does not extend to schools.

Focussed on individuals

Records are held for all students, staff and contractors/consultants (as appropriate) and for students, these are linked across early, primary and secondary school levels.

KPI	Benchmark	Possible Measures	Possible Target	Method	Responsible Owner	Frequency	Undertaken By
Student records/staff records	Percentage	Number	30% in year 1 70% in year 2 100% in year 3	System reports/logs compared to published numbers		Annual	
Records are available at all levels	Percentage of users at all levels	Number	30% in year 1 70% in year 2 100% in year 3	System reports/logs across levels		Annual	

Cross jurisdictional, inter government, non government entities inter agency dependencies, and engagement with broad range of people and entities

There are sufficient business rules in the system and documents/records to ensure strong linkages between associated documents/records. The system is available to all staff etc required to deal with such a broad range of agencies.

KPI	Benchmark	Possible Measures	Possible Target	Method	Responsible Owner	Frequency	Undertaken By
BCS (as above)							
Edutrack is available to all users at all locations	Percentage of locations	Number	30% in year 1 70% in year 2 100% in year 3	System reports/logs across locations		Annual	
Correspondence registration and filing	Accuracy	Number	95% correct	Review and report		Random sample once per week	

Scope notes, metadata and other business rules are relevant and current	Frequency of reviews	Number per year	Two	Review and report		Annual	
Searching	?	?	?	?		?	
Document/record relevance	Client satisfaction	Number of issues Number of incidents Number of complaints	No more than x per month	Survey and/or system reports/logs (possibly search function)		Monthly	

Ministerials and FOI

The system is configured to readily identify relevant documents/records to meet FOI requests.

KPI	Benchmark	Possible Measures	Possible Target	Method	Responsible Owner	Frequency	Undertaken By
FOI requests	Time	Timeframe for retrieval	?	System reports/logs		?	
Edutrack is available to all users at all locations	Percentage of locations	Number	30% in year 1 70% in year 2 100% in year 3	System reports/logs across locations		Annual	

Large number of geographically dispersed locations and volumes of records

The system is deployed across the State at all DEECD locations and has the capacity and availability to meet user requirements.

KPI	Benchmark	Possible Measures	Possible Target	Method	Responsible Owner	Frequency	Undertaken By
Edutrack is available to all users at all locations	Percentage of locations	Number	30% in year 1 70% in year 2 100% in year 3	System reports/logs across locations		Annual	

Capacity	Frequency of reviews	Number per year	Quarterly	System reports/logs Review and report		Quarterly	
System availability	Percentage of time	Uptime	xx.xx% per month	System reports/logs		Monthly	CIO

Measurement and reporting

Records management KPI measurement and reporting are aligned with DEECD outcome measurement and reporting.

KPI	Benchmark	Possible Measures	Possible Target	Method	Responsible Owner	Frequency	Undertaken By
Records management KPI alignment with Corporate Plan outcome measurements	Number	Percentage of aligned KPI	?	Review and report		Annual	

Confidence in information and records

The public (and all users) must have confidence in the documents/records held in and managed by the system.

KPI	Benchmark	Possible Measures	Possible Target	Method	Responsible Owner	Frequency	Undertaken By
Investment in records management related training and education	Hours	Number	X hours per annum	Review and report		Annual	
Investment in records management related training and education	Number of staff per course	Number by course	x staff by course	Review and report		Annual	
Effectiveness of records management related	Client/management	Numbers/grading in response to	x% at a set	Survey		Bi-annual	

training and education	satisfaction	questionnaire	level				
Correspondence registration and filing	Accuracy	Number	95% correct	Review and report		Random sample once per week	
Duplicate documents	Number	Number	x% reduction over time followed by "not to exceed" level	System reports/logs		Annual	
EDRMS is available to all users at all locations	Percentage of locations	Number	30% in year 1 70% in year 2 100% in year 3	System reports/logs across locations		Annual	