

# Advanced reporting for the Recordkeeping Assessment Tool (RKAT)

PROV Records Management Network – November 2021



RKAT is a tool for agencies to proactively assess, document and continuously improve their management of public sector information

Its consistent structure allows them to measure (and demonstrate) improvement over time

RKAT is free for anyone to use

# Getting reports

## Submit for Organisation

This is a formal submission on behalf of your agency. It lets you generate the reports. If you make a mistake, we can 'unsubmit' it so you can go on editing

## Testing only

This is not a final submission. It also lets you generate the reports, but you can go on editing the assessment

# Full report (test)

## Pennydale Council

Council – Metropolitan  
50-99 full-time staff  
1.5 dedicated record management staff

Assessment: System  
System name: GMS  
Purpose of system: Grants management

Assessment completed by:  
Name: Peter Francis  
Role: Manager Records and Information  
Phone:  
Submitted: 13 Jan 2021

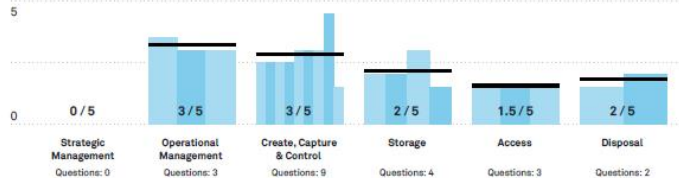
## Overview

### Overall rating:

This assessment has covered the high level recordkeeping requirements as they relate to the scope selected. It is not a definitive evaluation of your organisation's performance but should be used as an aid in identifying gaps in your management of public records. The assessment, and your plans for action, provide a form of evidence that you have reviewed your management of public records, and you have continuous improvement processes in place.

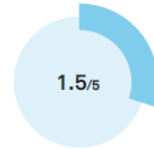


### Section ratings



## Access

This section assessed the arrangements for ensuring records are made accessible for authorised purposes, in line with relevant legislative, regulatory and policy requirements.



### Is the system designed and configured to effectively manage access to records?



The system is not designed or configured to ensure that records can be effectively managed over time. Metadata requirements have not been identified or set. There is little or no control over how individuals title, describe or classify records.

#### Explanation and Justification

The system is being actively managed currently as it contains some financial records and active use was only stopped eighteen months ago. As such it has the same checks as the other current systems.

#### Plans for action

Confirm that the checks conducted would flag anticipated storage related risk to records

#### Additional notes (optional)

### Is the system effectively used to describe and structure records so that they can easily and quickly be identified and found over time?



Little consideration has been given to ensuring the records are described and structured within the system to allow them to be easily and quickly identified and found over time. Few controls are designed into the system and practice is inconsistent.

#### Explanation and Justification

The system is being actively managed currently as it contains some financial records and active use was only stopped eighteen months ago. As such it has the same checks as the other current systems.

#### Plans for action

Confirm that the checks conducted would flag anticipated storage related risk to records

#### Additional notes (optional)

### Does the system ensure that inappropriate access or release is prevented or detected?



There are some security measures in place but these are not sufficient to detect or prevent inappropriate access or release. The measures are only monitored in the event of an obvious breach.

#### Explanation and Justification

The system is being actively managed currently as it contains some financial records and active use was only stopped eighteen months ago. As such it has the same checks as the other current systems.

#### Plans for action

Confirm that the checks conducted would flag anticipated storage related risk to records

#### Additional notes (optional)

# Doing your own analysis

The .csv file is also downloadable with the reports. Over time, you can merge these files and conduct your own analysis



Access to RKAT is by registered user, not organisation

Ideally, your agency will download and store your reports and .csv file at the time of each assessment

# Develop a Sector report

PROV can work with multiple agencies interested in producing aggregated reports on their performance

These deidentified reports will include descriptive data and summary statistics

Contact us to discuss this further

## RKAT Sector Report

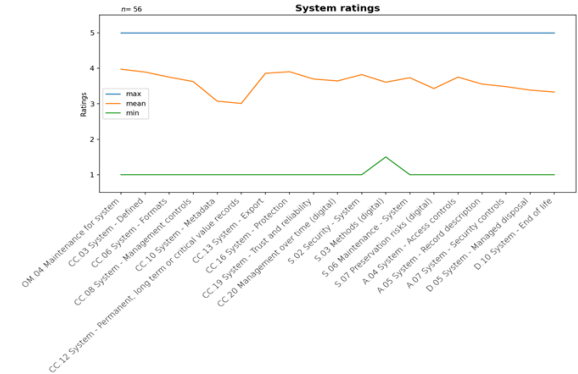
Report created at = **Wed Nov 3 17:22 2021**

The Recordkeeping Assessment Tool (RKAT) has been developed by Public Record Office Victoria. It is available at: <https://rkat.prov.vic.gov.au/>

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### System assessment

For assessing an organisational system against recordkeeping requirements



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This recordkeeping assessment tool incorporates content first developed as a business system tool by the Department of Health and Human Services.

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<https://prov.vic.gov.au/recordkeeping-government/learning-resources-tools/rkat>

RKAT