

9. Monitoring and reporting on records and information management

9.1 Authorities should identify performance measures that reflect their information management needs and arrangements and the risks that non-compliance with the Code would present to the authority, including the impact on risks identified in the overall risk management framework.

9.2 The performance measures could be general in nature, for example that a policy has been issued, or could refer to processes, such as the application of disposal schedules to relevant records with due authorisation of destruction, or could use metrics such as retrieval times for paper records held off-site that have been requested under FOISA.

9.3 Authorities should put in place the means by which performance can be measured. For example, if metrics are to be used, the data from which statistics will be generated must be kept. Qualitative indicators, for example whether guidance is being followed, can be measured by spot checks or by interviews.

9.4 Monitoring should be undertaken on a regular basis and the results reported to the person with lead responsibility for records management so that risks can be assessed and appropriate action taken.

9.5 Assessing whether the records management programme meets the needs of the organisation is a more complex task and requires consideration of what the programme is intended to achieve and how successful it is in delivering its objectives. This requires consideration of business benefits in relation to corporate objectives as well as risks and should include consultation throughout the authority.