

Conferencia Magistral: De la importancia de la auditoría del sistema de gestión de la información archivística.

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# Genève



Archives de la Ville  
de Genève

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Hypótesis

Propuesta



# Auditing for Records and Information Management Program Compliance

A Technical Report  
prepared by  
ARMA International  
and registered  
with ANSI  
January 26, 2014



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# Objetivos

« Each organization's RIM program should incorporate audit-related activities to ensure all program components are operationally sound from a RIM perspective and in keeping with appropriate information governance requirements »

ARMA International TR 25-2014, p.2

# *Guidelines for auditing management systems – ISO 19011*

2015/13

**NORME  
INTERNATIONALE**

**ISO  
19011**

Deuxième édition  
2011-11-15

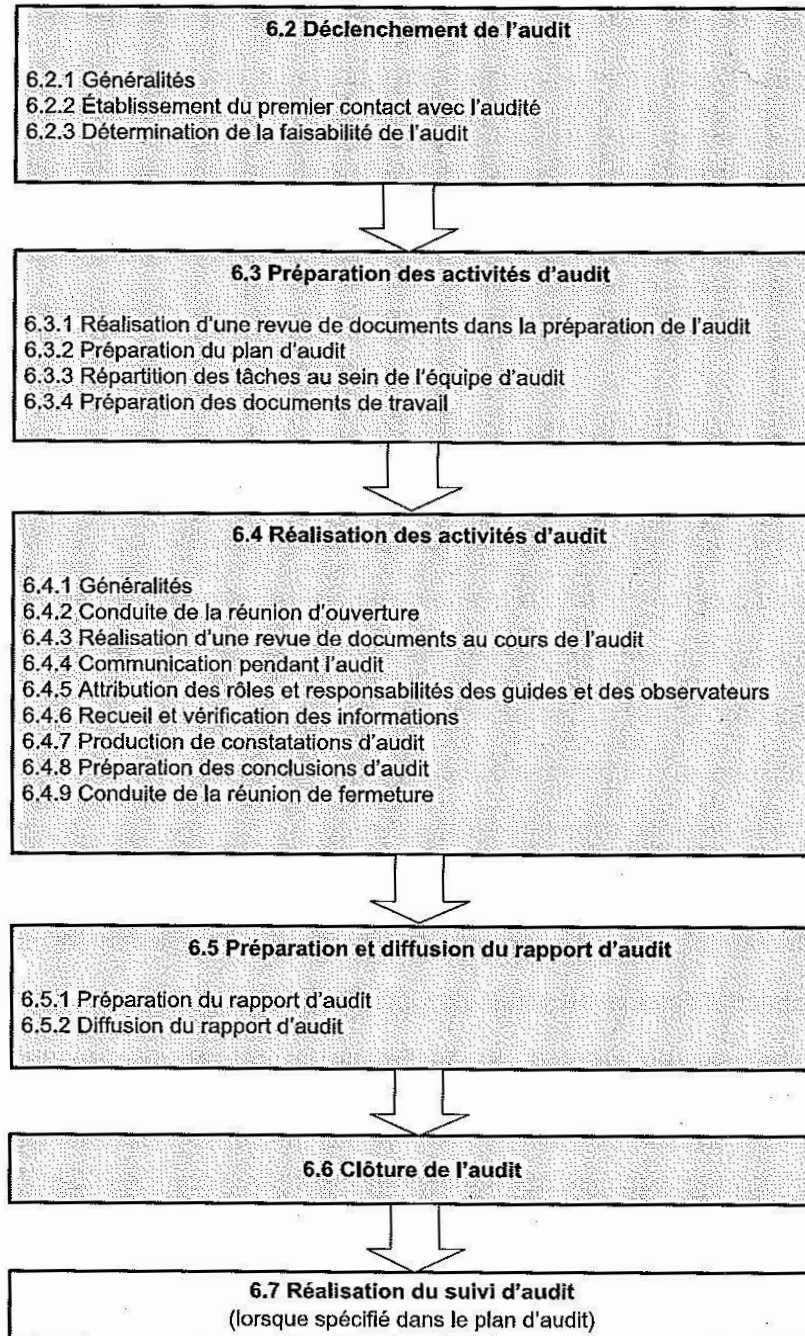
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**Lignes directrices pour l'audit des  
systèmes de management**

*Guidelines for auditing management systems*









- Definición
- Cambiar de perspectiva
- Reflexiones
- Ejemplos
- Recomendaciones

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# Auditoría - definición

(audit – ARMA International)

1 - « A review of information-related activities to ensure that sufficient policies, procedures, and controls are in place and compiled to meet all operational, legal and regulatory obligations and to identify where and how improvements should be made »

[2 - « Any action to confirm that an item has not been altered or changed from the original item »]

ARMA International TR 25-2014, p.2

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# Auditoría - definición

« An independent review and examination of records and activities to test for compliance with established policies and standards, often with recommendations for changes in controls or procedures »

*SAA, A Glossary of Archival and Records Terminology, 2005*

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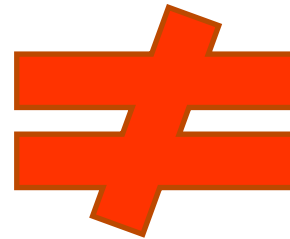
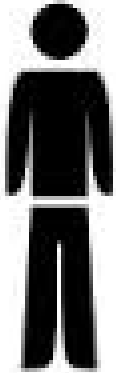
Cambiar de  
perspectiva...

en 5 temas





# En sentido opuesto











# Reflexiones

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Si añadimos esta etapa...



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# Qué auditar ?

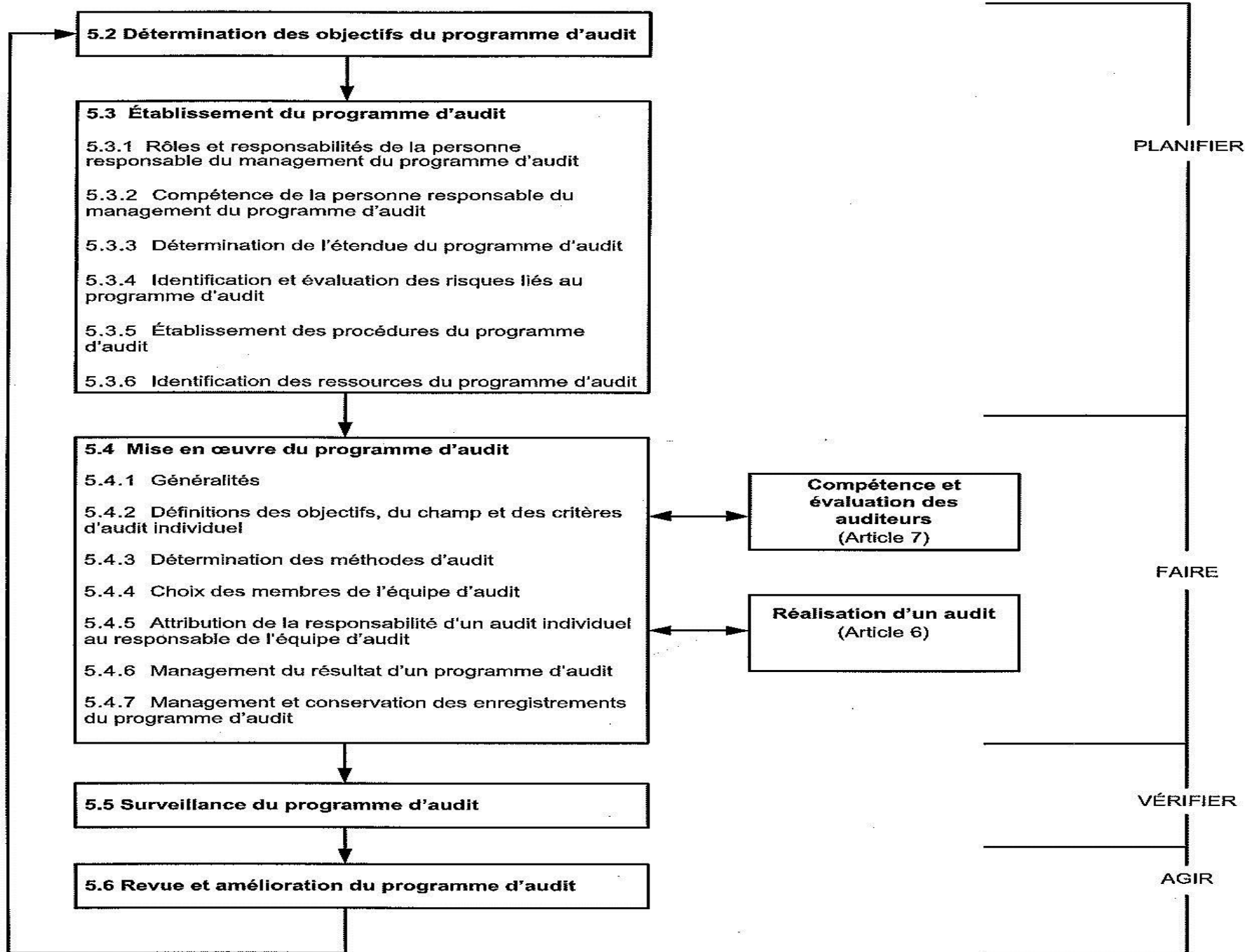




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- The completeness of RIM policies and procedures with considerations of all records, regardless of format/media, as managed throughout the lifecycle
  - The currency of RIM policies and procedures per RIM standards and best practices
  - The efficiency/effectiveness of RIM-related software / hardware / systems
  - The organization's compliance with RIM policies and procedures and legal obligations
  - The organization's RIM-related risk exposure
  - Recommendations for areas possibly benefitting from changes / improvements

ARMA International TR 25-2014, p6

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# Ejemplos



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srsaRecordsManagement@sa.gov.au  
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State Records  
of South Australia



## Assessment and Audit

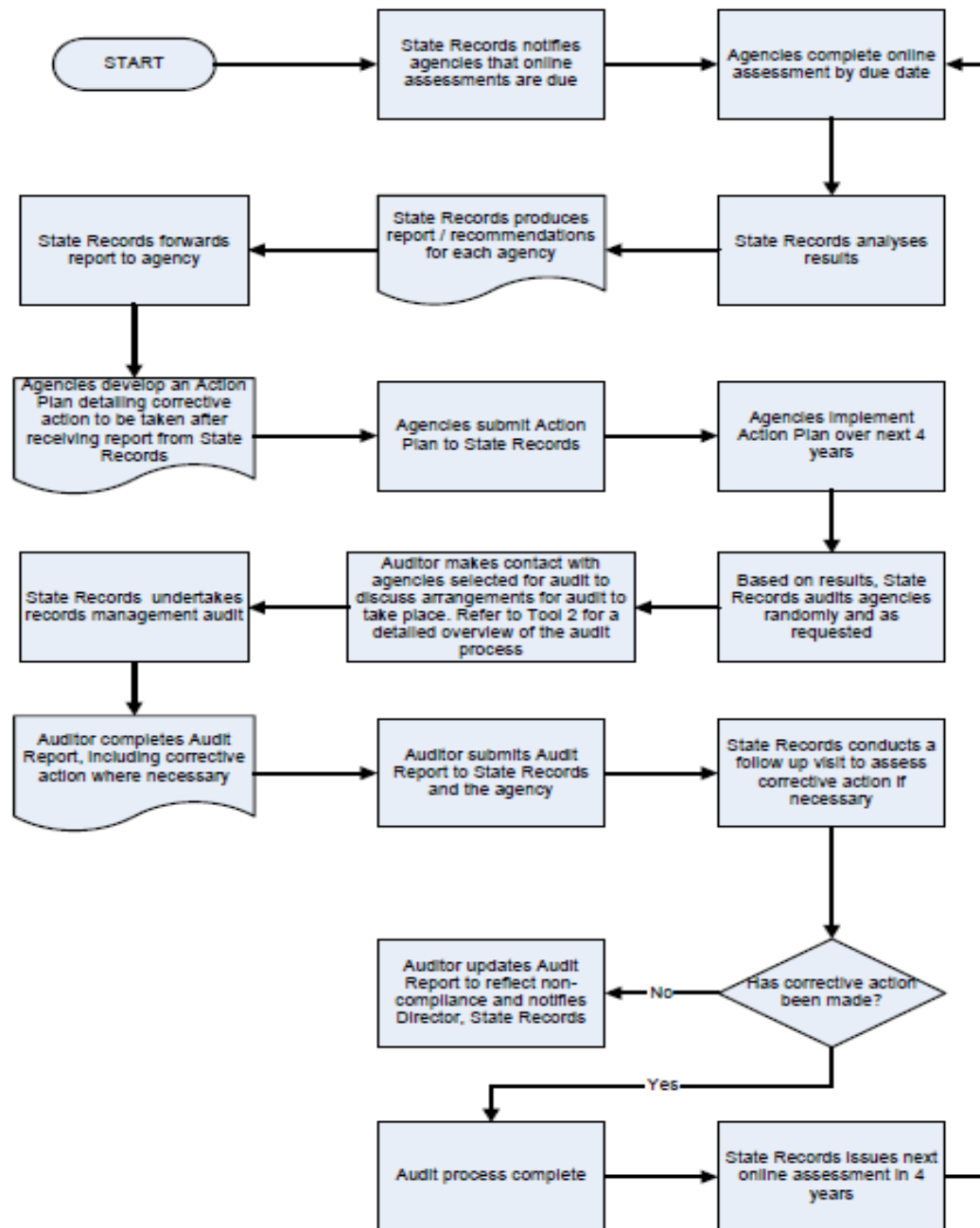
Guideline

January 2012

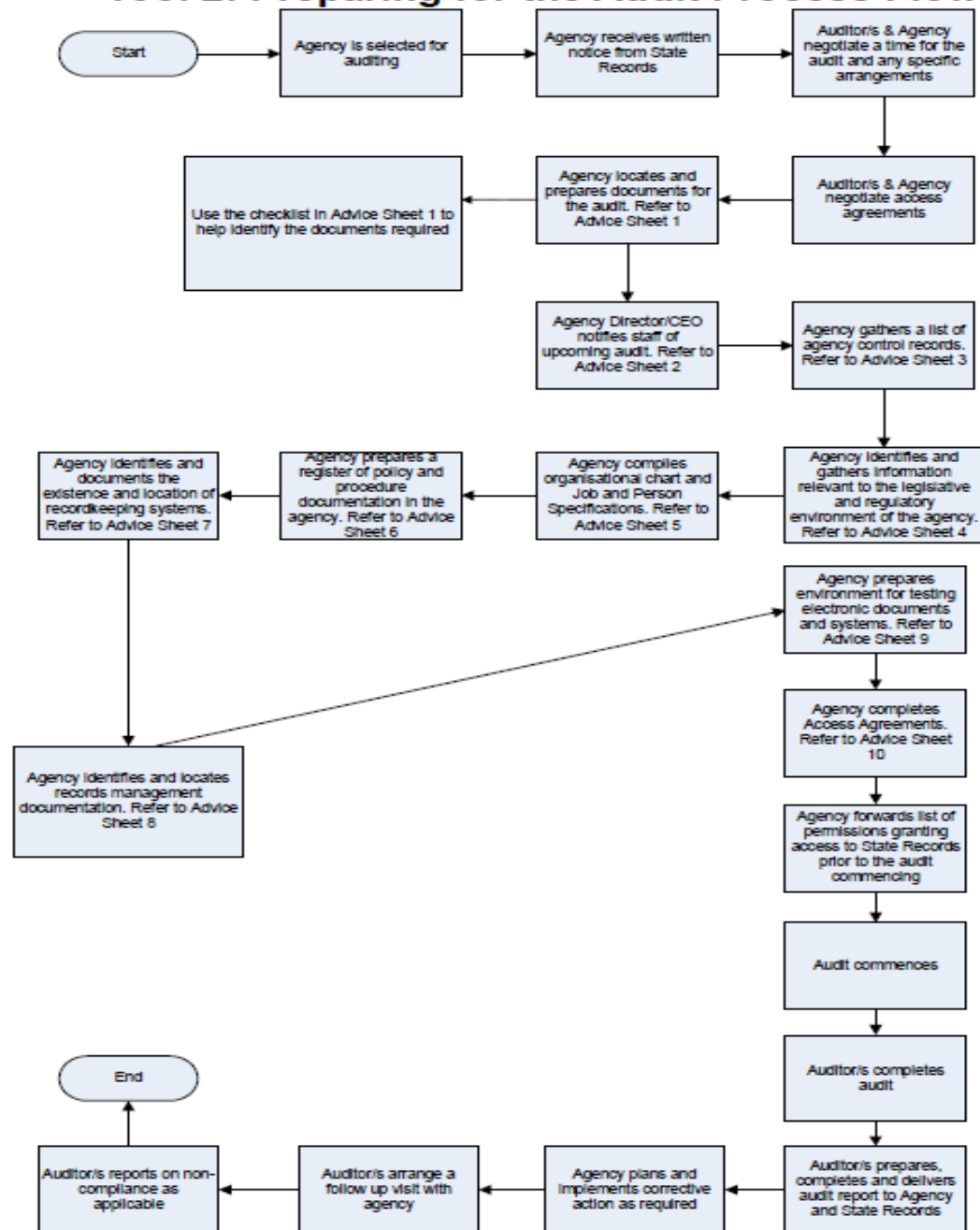
Version 1

[www.archives.sa.gov.au/files\\_management\\_guidelines\\_audit.pdf](http://www.archives.sa.gov.au/files_management_guidelines_audit.pdf)

# Tool 1: Assessment and Audit Flowchart



## Tool 2: Preparing for the Audit Process Flowchart



## Tool 3: Advice Sheets

### **Advice Sheet 1: Locate and prepare documentation for the audit**

This advice sheet has been prepared to assist agencies in locating and preparing documentation required for an audit of records management practices.

Responsibility for carrying out this process should reside with the agency Records Manager or equivalent responsible officer.

The auditor will need to inspect specific documentation that will satisfy the requirements expressed in the 11 outcomes of the ARM Standard.

Making these documents available will expedite the audit process.

Where an agency does not have the required documentation (or an appropriate substitute) the agency may need to develop it. If not already determined through the assessment survey this requirement will be outlined in the audit report.

In most cases the auditors will only need to sight evidence, however in some instances the auditor may require a copy of certain documents to enable further review. Where practical the auditor will provide the agency with a list of these documents prior to the audit.

It may assist agencies further to make available the evidence collected when completing the online assessment survey in addition to, or instead of, the checklist (provided below).

The Records Manager or appointed officer should have the following list of records, or their alternatives, ready for inspection:



## DISPOSAL OF RECORDS

All official records of the agency are disposed of in accordance with provisions of the *State Records Act 1997*.

<i>Levels of Achievement</i>	<i>Examples of evidence of current assessed position</i>
<b>Level 1: <i>Records Management Baseline</i></b> <ul style="list-style-type: none"><li>• The sentencing of official records is perceived as a priority in an agency.</li></ul>	
<b>Level 2: <i>Awareness of the Need for Good Practice</i></b> <ul style="list-style-type: none"><li>• CE and Senior Management recognise the need for records to be sentenced</li><li>• Agencies are aware of their disposal responsibilities in accordance with the State Records Act 1997.</li><li>• All staff are aware of disposal authorities - both general and operational.</li></ul>	
<b>Level 3: <i>Defining and Documenting Good Practice</i></b> <ul style="list-style-type: none"><li>• A register of approved operational disposal schedules is maintained.</li><li>• Agencies identify and document which records are not covered by current disposal schedules.</li><li>• Responsibility for disposal at a whole-of-agency level is assigned to the Records Manager.</li><li>• A disposal program is developed</li></ul>	<ul style="list-style-type: none"><li>• Register of schedules</li><li>• List of record series not covered by RDS; document for updating RDS; business analysis showing likelihood of RDS quality.</li><li>• Policy; records management strategy; role and responsibility statements; information management strategy.</li><li>• Approved disposal program</li></ul>
<b>Level 4: <i>Establishing Consistent Good Practice</i></b> <ul style="list-style-type: none"><li>• Agencies develop new disposal schedules to cover all operational records.</li><li>• Agencies apply the relevant GDS and RDS to official administrative and operational records.</li><li>• Where disposal has not occurred, backlog sentencing is conducted and permanent and temporary records are identified.</li><li>• A disposal program is commenced.</li></ul>	<ul style="list-style-type: none"><li>• RDS and update documentation; document for updating RDS; business analysis showing likelihood of RDS quality.</li><li>• Intention to destroy reports; creation screens with disposal metadata; list of record transfers; report of disposal actions.</li><li>• Sentencing lists; intention to destroy reports.</li><li>• Procedures; documentation; correspondence with State Records for transfer.</li></ul>



**Level 5: *Breaking Through to Best Practice***

- Responsibility for disposal at an individual level is assigned.
- All official records are covered by disposal schedules.
- Routine sentencing and disposal programs are followed.
- The disposal program is coordinated and authorised.
- No illegal destruction occurs.
- A record is kept for records destroyed.
- Business processes are reviewed to map disposal requirements.
- Mandatory transfer of permanent records is undertaken

*\*Adequate level for this outcome*

- Performance reviews; documented internal processes; job and person specifications; internal audit reports.
- RDS update documentation; revisions of RDS.
- Procedures; regular sentencing reports; regular transfer and destruction documentation.
- State Records accreditation; process documentation.
- Approved intention to destroy lists; evidence of prohibited systematic e-mail destruction; reports of records missing.
- Approvals and records of destruction.
- Revised business process mapping.
- Copies of State Records transfer approvals

## Outcome 10: Policies, procedures and practices

<b>POLICIES PROCEDURES &amp; PRACTICES</b> All agencies develop and implement records management policies, procedures and practices.	
<i>Levels of Achievement</i>	<i>Examples of evidence of current assessed position</i>
<b>Level 1: Records Management Baseline</b> <ul style="list-style-type: none"> <li>The agency views Records Management policies, procedures and practices as necessary.</li> </ul>	
<b>Level 2: Awareness of the Need for Good Practice</b> <ul style="list-style-type: none"> <li>CE and Senior Management recognise that policies, procedures and practices are an integral part of a Records Management program.</li> </ul>	
<b>Level 3: Defining and Documenting Good Practice</b> <ul style="list-style-type: none"> <li>A gap analysis is conducted to determine what policies, procedures and practices are required.</li> <li>A review of existing policies and practices is conducted to determine the degree of comprehensiveness and effectiveness.</li> </ul>	<ul style="list-style-type: none"> <li>Gap analysis documentation; review documentation; internal assessments.</li> <li>Survey documentation; alignment of adequacy standard to strategic outcomes in business plans or strategic plans.</li> </ul>
<b>Level 4: Establishing Consistent Good Practice</b> <ul style="list-style-type: none"> <li>Responsibility for the development and review of policies and procedures is assigned at a whole-of-agency level to the Records Manager.</li> <li>Version control over policies and procedures is implemented and maintained.</li> <li>Policies and procedures are distributed to all staff.</li> </ul>	<ul style="list-style-type: none"> <li>Documented delegations.</li> <li>Footers; version register; EDRMS implemented agency-wide to manage all official records.</li> <li>Intranet delivery to all desktops; policy manuals with all users.</li> </ul>
<b>Level 5: Breaking Through to Best Practice</b> <ul style="list-style-type: none"> <li>Approved policies, procedures and practices are implemented and regularly reviewed by Senior Management.</li> </ul>	<ul style="list-style-type: none"> <li>Procedures and policies specifying all formats; format listings; policy manuals with all users; policy and procedures register; regular review documentation.</li> </ul>
<i>*Adequate level for this outcome</i>	

# Recomendaciones











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# EVOLUCIÓN

# REVOLUCIÓN

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