

RECORDS MANAGEMENT PLAN TEMPLATE

Instructions for Use

This template has been developed for you to use in your agency as a model for your Records Management Plan (RMP).

This page is not to be included with your RMP.

How to Use the Template

1. Where <Name of Organisation> appears, insert the name of your agency.
2. Amend the suggested wording to suit your agency's program and circumstances.
3. *[Instructions are shown in italics inside square brackets, indicating that information should be inserted/deleted/amended/selected from drop down menu as appropriate].*
4. You are NOT required to attach documents or excerpts of documents to the RMP. The State Records Office (SRO) may request access to policy or procedural documents as part of a regular program of compliance monitoring on behalf of the State Records Commission.
5. Refer to the SRO's *Information Management Maturity Model* to complete the RMP Executive Summary. Understanding your maturity rating will help you identify areas for improvement and internally monitor your organisation's progress towards achieving better information management. The *Information Management Maturity Model* is available on the SRO website at: [\[link to be provided\]](#)
6. The template should be used in conjunction with the following:
 - *State Records Act 2000*
 - State Records Commission Principles and Standards
 - *SRO Information Management Maturity Model*
7. The *State Records Act 2000* is available online via the Western Australian Legislation website or for purchase from the State Law Publisher.
8. The RMP templates are available on the SRO website at [\[link to be provided\]](#)

For enquiries regarding your RMP contact the State Records Office:

Phone: (08) 9427 3661

Email: sro@sro.wa.gov.au

Statement of Purpose

<Name of Organisation> submits this Records Management Plan (RMP) for approval by the *[State Records Commission (SRC)/Minister]* in accordance with *[section 19 / section 12 / section 27]* of the *State Records Act 2000* (the Act).

This RMP confirms that all aspects of records management, including records and information systems, disposal arrangements, policies, practices and processes, must support <Name of Organisation> to:

- Create, capture and manage records of information which properly and adequately record the performance of the organisation's functions;
- Keep government records of information for a minimum retention period, while identifying some records of information with continuing value to be kept permanently as State archives; and
- Locate and retrieve records of information when required in order to allow for discovery and provide a right of access to government information.

This RMP applies to all:

- <Name of Organisation> employees and contractors;
- Members of *[Name of Boards, Committees, Commissions, Tribunals, Elected Members etc.]*;
- Organisations performing outsourced services on behalf of the <Name of Organisation>; and
- Regional branches of the <Name of Organisation>.

This RMP supersedes *[insert number of previous approved RKP or RMP/delete if not applicable]* and applies to all records of information created or received by any of the above parties, regardless of format; location; or date created.

Using the State Records Office (SRO) *Information Management Maturity Model*, <Name of Organisation> has rated each aspect of the organisation's performance against the requirements addressed in this RMP and identified areas for improvement in the Executive Summary.

<Name of Organisation> will use the Executive Summary to review progress towards improvement two years after approval. The RMP will be reviewed no later than five years from approval.

In submitting this Records Management Plan, <Name of Organisation> can provide additional supporting documentation to demonstrate compliance with the Act.

CEO and Authorising Officer: _____

Date: _____

EXECUTIVE SUMMARY

<Name of Organisation> has completed the *Information Management Maturity Model* which has generated the following Executive Summary.

	Compliance Measure	Maturity Rating	Area for Improvement	Two-year review
1.1	Records of information created, managed and kept in accordance with legislative and business requirements	<1-4>	<Title of area for improvement>	<Yes/No>
1.2	Accountability and approvals for implementing and reviewing Records Management Plans			
1.3	All employees, including contractors and third-party providers engaged in outsourcing arrangements, comply with the Records Management Plan			
1.4	Records of information are protected, preserved and stored on appropriate media to ensure ongoing usability, in environmental conditions appropriate to format			
1.5	Migrated, converted or reproduced information is as authentic, reliable and usable as the original source record of information from which it is created.			
1.6	Effective security and authentication controls exist to keep records of information safe from intentional or unintentional damage and unauthorised access, tampering or alteration			
2.1	Minimum periods outlined in the appropriate retention and disposal authorities and any applicable legislation			
2.2	Records of information which are State archives identified through approved retention and disposal authorities for permanent retention			
2.3	Legal destruction of records of information which is not State archives and are no longer required for business purposes is regularly conducted in accordance with disposal authorities			

	Compliance Measure	Maturity Rating	Area for Improvement	Two-year review
3.1	Appropriate controls are in place to identify and name all government records of information			
3.2	All records of information, including those of contractors and outsourced arrangements, are accessible when required			
3.3	State archives must be open for public access at some point in their life			

1 Principle One: Creation and Management

Organisations create, capture and manage records of information which properly and adequately record the performance of the organisation's functions and support business operations.

1.1 Records of information are created, managed and kept in accordance with legislative and business requirements

<Name of Organisation> was established under, and operates in accordance with, the *[insert name of enabling legislation]*.

Other legislation and regulations affecting the functions and operations of <Name of Organisation>, or administered by <Name of Organisation> includes:

- *State Records Act 2000;*
- *State Records (Consequential Provisions) Act 2000;*
- *Criminal Code 1913;*
- *Electronic Transactions Act 2011;*
- *Evidence Act 1906;*
- *Financial Management Act 2006;*
- *Freedom of Information Act 1992;*
- *Legal Deposit Act 2012;*
- *Limitation Act 1935 and 2005;*
- *Public Sector Management Act 1994;*
- *Auditor General Act 2006;*
- *Corruption and Crime commission Act 2003; and*
- *[Amend as appropriate and insert details of other legislation.]*

The main function of <Name of Organisation> is: *[Insert details of <Name of Organisation>'s main business activity(ies).]*

In the past five years the functions of <Name of Organisation> have not changed/have changed to: *[Insert details of any change to business activity(ies), if applicable.]*

Policies and procedures governing the creation, management and maintenance of records of information use relevant SRO templates, specifications and information management advice when appropriate. The policies and procedures will be regularly reviewed and updated when required.

<Name of Organisation> confirms that all records of business information must be captured into systems that have the functionality to effectively manage the information until it is legally disposed of.

1.2 Accountability and responsibility for approving, implementing and reviewing Records Management Plans

The CEO *[amend title as appropriate]* submits <Name of Organisation>'s Records Management Plan to the State Records Commission for approval and regular review.

The policies and procedures which support the RMP are authorised by *[details /title]*.

The RMP is implemented by the organisation's *Corporate Information Unit/Records Officer [amend title as appropriate]* under delegation from the *[details/title]*.

1.3 All employees, including contractors and third-party providers engaged in outsourcing arrangements, comply with the Records Management Plan

<Name of Organisation> confirms that contracts must protect intellectual property, custody and provision of access to records of information created in the delivery of outsourced functions.

<Name of Organisation> confirms that new and existing employees and contractors will be made aware of their records management responsibilities and requirements to comply with the RMP through:

- Induction sessions conducted by records management staff;
- Training to support the implementation of records management policies, procedures and practices delivered by internal staff or external providers.

1.4 Records of information are protected, preserved and stored on appropriate media to ensure ongoing usability, in environmental conditions appropriate to format

<Name of Organisation> stores its records of information in:

- Onsite storage at *[insert location/s and short description of how stored]*.
- Offsite in a commercial storage facility, operated by *[insert name of company]*, in accordance with SRO specifications.

<Name of Organisation> stores digital records of information on premises and/or in data centres and/or in cloud storage facilities using appropriate risk management assessment which considers business needs, government regulation and cloud computing policies.

<Name of Organisation> confirms that any arrangements for the storage of digital records of information must provide for security and access; back-up and recovery; preservation; intellectual property and control of government data by ensuring:

- Digital records of information stored are accessible and readable;
- Digital storage media, including removable storage devices, is refreshed as necessary to prevent data loss or alteration; and
- Digital records of information requiring long term retention is maintained in, or transferred to, an appropriate format for long term preservation.

1.5 Migrated, converted or reproduced records of information is as authentic, reliable and usable as the original source records from which they are created

<Name of Organisation> confirms that in the event of the migration of digital records of information from one information system to another, processes and procedures will be in place to maintain the authenticity, integrity, reliability, security and usability of the information.

Where <Name of Organisation> has established a business practice to change the format of records of information, procedures *[are/will be]* in place *[now/by <insert date>]* to scan/digitise incoming hard copy correspondence, or to back scan, in accordance with SRO specifications associated with the *General Retention and Disposal Authority for Source Records*.

Once scanned/digitised, original source records of information may be treated as copies/duplicates and retained to meet operational requirements. Source records of information are maintained in accordance with approved retention and disposal authorities.

1.6 Effective security and authentication controls exist to keep records of information safe from intentional or unintentional damage and unauthorised access, tampering or alteration

The following measures *[have been/will be]* implemented by <Name of Organisation>:

- All records of information are accessible only to authorised users, depending on delegations assigned to staff within the organisation.
- All information systems are backed up.
- A Disaster Management Plan is in place to ensure all records of information which supports business activities or which is deemed to be permanent value State archives is identified and protected from loss.

[Add other relevant security measures in place.]

2 Principle Two: Retention and Disposal

All State records of information have a minimum retention period for which they must be kept. Some records of information have continuing value and are to be kept permanently as State archives.

2.1 Minimum periods outlined in the appropriate retention and disposal authorities and any applicable legislation

<Name of Organisation> uses the following retention and disposal authorities *[Delete as appropriate]*:

- Agency Retention and Disposal Authority (Retention and Disposal Schedule) *[insert number]*
- General Retention and Disposal Authority *[insert name]*
- Sector Retention and Disposal Authority *[insert name]*
- *[Add others as appropriate]*

These authorities set minimum periods for retention of the <Name of Organisation>'s government records of information.

2.2 State archives are identified for permanent retention through approved retention and disposal authorities

Records of information identified as State archives are described in approved Retention and Disposal Authorities.

State archives that will physically transfer to the SRO, and those that will be retained by <Name of Organisation>, are identified in approved Retention and Disposal Authorities.

<Name of Organisation> will identify and provide a list of all records of information to be kept for permanent retention as State archives for inclusion in the Register of State Archives.

State archives remaining in the custody of <Name of Organisation> will be kept in accordance with SRO storage specifications.

2.3 Legal destruction of records of information which is not a State archive and is no longer required for business purposes is regularly conducted in accordance with appropriate retention and disposal authorities

<Name of Organisation> *[implements/will implement]* a regular disposal program on an *[insert frequency e.g. annual]* basis using the disposal authorities listed in section 2.1.

Before records of information are destroyed or confirmed as a State archive, a list of records of information due for destruction or permanent retention will be reviewed by a

senior manager in the organisation and authorised for destruction or permanent retention.

3 Principle Three: Discovery and Access

Organisations must be able to efficiently and effectively locate and retrieve records of information when required for business purposes and in order to allow discovery and provide a right of access to government information.

3.1 Appropriate controls are in place to identify and name all government records of information

<Name of Organisation> has processes and procedures in place to control the titling of its records of information. Administrative and functional records of information must be appropriately titled so they can be found without difficulty. Titling will be adjusted to reflect changes to the functions and activities of <Name of Organisation>.

3.2 All records of information, including that created by contractors and outsourced arrangements, are accessible when required

<Name of Organisation> confirms that access procedures must be in place for records of information held by the organisation, including State archives over 25 years old.

Conditions for the provision of access to any State records of information produced in the course of a contract/agreement *[have been/will be]* agreed between the <Name of Organisation> and all *outsourced providers/ third party contractor(s)/agent(s) [Amend as appropriate]*.

3.3 State archives must be open for public access at some point in their life

<Name of Organisation> *[have identified/will identify]* restricted access archives and the length of restricted access periods. *[Amend as appropriate]*.