| **Principle**  **Components** | Assessment | | | |
| --- | --- | --- | --- | --- |
| **1. Inadequate 2. Acceptable but Requires Development 3. Effective 4. Very Good** | | | |
| Principle 1.Background | Included in RKP Yes or No | **Rating**  **1 - 4** | **Further Comment**  **(if the rating is less than 3 include strategies for improvement and timelines for completion)\*** | **SRO Use Only** |
| Historical Background |  |  |  |  |
| Mission Statement |  |  |  |  |
| Strategic Focus Identified |  |  |  |  |
| Business Activity Identified |  |  |  |  |
| Outsourced Functions Identified |  |  |  |  |
| Major Stakeholders Identified |  |  |  |  |
| Enabling Legislation |  |  |  |  |
| Legislation – Other |  |  |  |  |
| Major Govt Policy and/or Industry Standards |  |  |  |  |
| **Identified areas for improvement** |  |  |  |  |

| **Principle**  **Components** | Assessment | | | |
| --- | --- | --- | --- | --- |
| **1. Inadequate 2. Acceptable but Requires Development 3. Effective 4. Very Good** | | | |
| Principle 2.Policies & Procedures | Included in RKP  **Yes or No** | **Rating**  **1 - 4** | **Further Comment**  **(if the rating is less than 3 include strategies for improvement and timelines for completion)\*** | **SRO Use Only** |
| Record keeping Systems Overview |  |  |  |  |
| Business Information Systems Overview |  |  |  |  |
| Policy & Procedures (P&P) |  |  |  |  |
| Correspondence Capture & Control |  |  |  |  |
| Digitisation *(if applicable)* |  |  |  |  |
| Distribution |  |  |  |  |
| File Creation/Closure |  |  |  |  |
| Access to Corporate Records |  |  |  |  |
| Retention and Disposal |  |  |  |  |
| Electronic Records |  |  |  |  |
| Email Management |  |  |  |  |
| Website Management |  |  |  |  |
| Metadata Management |  |  |  |  |
| System/s Management |  |  |  |  |
| Migration Strategy |  |  |  |  |
| Other |  |  |  |  |
| Policy & Procedure Manual |  |  |  |  |
| Adequate coverage |  |  |  |  |
| More info required |  |  |  |  |
| CEO Certification of P&P |  |  |  |  |
| Evaluation of P&P |  |  |  |  |

| **Principle**  **Components** | Assessment | | | |
| --- | --- | --- | --- | --- |
| **1. Inadequate 2. Acceptable but Requires Development 3. Effective 4. Very Good** | | | |
| Principle 3.Language Control | Included in RKP  **Yes or No** | **Rating**  **1 - 4** | **Further Comment**  **(if the rating is less than 3 include strategies for improvement and timelines for completion)\*** | **SRO Use Only** |
| **KWAAA Implemented** |  |  |  |  |
| Admin records |  |  |  |  |
| Functional records OR |  |  |  |  |
| Thesaurus (other than KWAAA) |  |  |  |  |
| Admin records |  |  |  |  |
| Functional records OR |  |  |  |  |
| File Plan / List of Headings Appropriate terms for: |  |  |  |  |
| Admin records |  |  |  |  |
| Functional records |  |  |  |  |
| **Agency’s assessment of its effectiveness** |  |  |  |  |
| Effectiveness of terms |  |  |  |  |
| Ease of classification & indexing |  |  |  |  |
| Ease of retrieval |  |  |  |  |
| **Identified areas for improvement** |  |  |  |  |

| **Principle**  **Components** | Assessment | | | |
| --- | --- | --- | --- | --- |
| **1. Inadequate 2. Acceptable but Requires Development 3. Effective 4. Very Good** | | | |
| Principle 4.Preservation | Included in RKP  **Yes or No** | **Rating**  **1 - 4** | **Further Comment**  **(if the rating is less than 3 include strategies for improvement and timelines for completion)\*** | **SRO Use Only** |
| **Disaster Management Plan** |  |  |  |  |
| **Assessment of the risks** |  |  |  |  |
| Storage – on site |  |  |  |  |
| Storage – off site |  |  |  |  |
| Storage – data centre / cloud |  |  |  |  |
| Storage – Archives |  |  |  |  |
| Storage – back-ups |  |  |  |  |
| Quantity of hard copy archival records (linear metres) |  |  |  |  |
| Security & Access |  |  |  |  |
| Assessment of the impacts of disasters to records |  |  |  |  |
| Impact of damage |  |  |  |  |
| Impact of loss |  |  |  |  |
| Other |  |  |  |  |
| Strategies in place for preservation and response |  |  |  |  |
| Vital records program |  |  |  |  |
| Back-up procedures |  |  |  |  |
| Preservation – electronic records |  |  |  |  |
| Security |  |  |  |  |
| Storage reviews |  |  |  |  |
| Recovery of lost information |  |  |  |  |
| **Identified areas for improvement** |  |  |  |  |

| **Principle**  **Components** | Assessment | | | |
| --- | --- | --- | --- | --- |
| **1. Inadequate 2. Acceptable but Requires Development 3. Effective 4. Very Good** | | | |
| **Principle 5.**  **Retention & Disposal** | Included in RKP  **Yes or No** | **Rating**  **1 - 4** | **Further Comment**  **(if the rating is less than 3 include strategies for improvement and timelines for completion)\*** | **SRO Use Only** |
| Retention & Disposal |  |  |  |  |
| Current R&D Schedule –Registration Number |  |  |  |  |
| Previous R&D Schedules – Registration Number/s |  |  |  |  |
| Sector Disposal Authority in use |  |  |  |  |
| Retention and Disposal Authority Review *(If applicable)* |  |  |  |  |
| General Retention and Disposal Authority for State Government Information in use |  |  |  |  |
| General Disposal Authority for Source Records in use |  |  |  |  |
| Existing Ad Hoc Schedules |  |  |  |  |
| Registration Number/s |  |  |  |  |
| Existing Disposal Lists |  |  |  |  |
| Registration Number/s |  |  |  |  |
| **Restricted Access Archives identified** |  |  |  |  |
| **Transfer of Archives** |  |  |  |  |
| **Non-Transfer of Archives** |  |  |  |  |
| Retention and Disposal Program |  |  |  |  |
| Implemented |  |  |  |  |
| Frequency |  |  |  |  |
| CEO Authorisation |  |  |  |  |
| **Identified areas for improvement** |  |  |  |  |

| **Principle**  **Components** | Assessment | | | |
| --- | --- | --- | --- | --- |
| **1. Inadequate 2. Acceptable but Requires Development 3. Effective 4. Very Good** | | | |
| **Principle 6.**  **Compliance** | Included in RKP  **Yes or No** | **Rating**  **1 - 4** | **Further Comment**  **(if the rating is less than 3 include strategies for improvement and timelines for completion)\*** | **SRO Use Only** |
| **Staff Training, Information Sessions** |  |  |  |  |
| In-house RM training |  |  |  |  |
| External RM training |  |  |  |  |
| Staff info sessions |  |  |  |  |
| Staff coverage AND/OR |  |  |  |  |
| Brochures or Newsletters |  |  |  |  |
| With RM content  **AND** |  |  |  |  |
| Induction Programs |  |  |  |  |
| Conducted |  |  |  |  |
| Coverage – all staff |  |  |  |  |
| Coverage – topic |  |  |  |  |
| **Performance Indicators in place** |  |  |  |  |
| **Agency’s evaluation**  – of efficiency & effectiveness |  |  |  |  |
| **Annual Report – excerpt** |  |  |  |  |
| Record keeping training for staff |  |  |  |  |
| Compliance |  |  |  |  |
| **Identified areas for improvement** |  |  |  |  |

| **Principle**  **Components** | Assessment | | | |
| --- | --- | --- | --- | --- |
| **1. Inadequate 2. Acceptable but Requires Development 3. Effective 4. Very Good** | | | |
| **Standard 6.**  **Outsourced Functions** | Included in RKP  **Yes or No** | **Rating**  **1 - 4** | **Further Comment**  **(if the rating is less than 3 include strategies for improvement and timelines for completion)\*** | **SRO Use Only** |
| **Outsourced Functions**  – Identified |  |  |  |  |
| Record keeping issues included in contracts |  |  |  |  |
| Planning |  |  |  |  |
| Ownership |  |  |  |  |
| Control |  |  |  |  |
| Disposal |  |  |  |  |
| Access |  |  |  |  |
| Custody |  |  |  |  |
| Contract Completion |  |  |  |  |
| **Identified areas for improvement** |  |  |  |  |

#### **Further comment**

Prepared by

Name: Position:

Reviewed by

Name: Position:

**Statement by Chief Executive Officer or Principal Officer, or delegate**

In accordance with the *State Records Act 2000* I hereby submit for your consideration and submission to the State Records Commission the Recordkeeping Plan / amended Recordkeeping Plan of . The Recordkeeping Plan has been prepared in accordance with the provision of the *State Records Act 2000* and the State Records Commission Principles and Standards.

Name: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Position:\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Date :\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Signed: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_