**<Name of Organisation>**

**RECORDKEEPING PLAN**

**<Year>**

**TABLE OF CONTENTS**

[**Introduction** 5](#_Toc155349510)

[**1** **Principle One: Proper and Adequate Records** 7](#_Toc155349511)

[**1.1** **Historical Background** 7](#_Toc155349512)

[**1.2** **Mission Statement** 7](#_Toc155349513)

[**1.3** **Strategic Focus** 7](#_Toc155349514)

[**1.4** **Business Activity** 7](#_Toc155349515)

[**1.5** **Outsourced Functions** 7](#_Toc155349516)

[**1.6** **Major Stakeholders** 7](#_Toc155349517)

[**1.7** **Enabling Legislation** 7](#_Toc155349518)

[**1.8** **Other Legislation** 7](#_Toc155349519)

[**1.9** **Major Government Policy and/or Industry Standards** 8](#_Toc155349520)

[**2** **Principle Two: Policies and Procedures** 9](#_Toc155349521)

[**2.1** **Records Management and Business Information Systems** 9](#_Toc155349522)

[**2.1.1** **Records Management System** 9](#_Toc155349523)

[**2.1.2** **Business Information Systems** 9](#_Toc155349524)

[**2.2** **Records Management Policy and Procedures** 9](#_Toc155349525)

[**2.3** **Certification of Policies and Procedures** 11](#_Toc155349526)

[**2.4** **Evaluation of Policies and Procedures** 11](#_Toc155349527)

[**3** **Principle Three: Language Control** 12](#_Toc155349528)

[**3.1** **Keyword AAA Thesaurus Implemented** 12](#_Toc155349529)

[**3.2** **Thesaurus (Other than Keyword AAA) Implemented** 12](#_Toc155349530)

[**3.3** **File Plan/List of Subject Headings / List of Authorised Headings** 12](#_Toc155349531)

[**3.4** **Assessment of its Effectiveness** 12](#_Toc155349532)

[**3.5** **Identified Areas for Improvement** 12](#_Toc155349533)

[**4** **Principle Four: Preservation** 14](#_Toc155349534)

[**4.1** **Assessment of Risks** 14](#_Toc155349535)

[**4.1.1** **On Site Storage** 14](#_Toc155349536)

[**4.1.2** **Offsite Storage** 14](#_Toc155349537)

[**4.1.3** **Data Centre and Cloud Storage** 15](#_Toc155349538)

[**4.1.4** **Storage of Archives** 15](#_Toc155349539)

[**4.1.5** **Storage of Backups** 15](#_Toc155349540)

[**4.1.6** **Quantity of Records** 16](#_Toc155349541)

[**4.1.7** **Security and Access** 16](#_Toc155349542)

[**4.2** **Assessment of the Impacts of Disasters** 16](#_Toc155349543)

[**4.3** **Strategies in Place for Preservation and Response** 16](#_Toc155349544)

[**4.3.1** **Vital Records Program** 16](#_Toc155349545)

[**4.3.2** **Backup Procedures for Electronic Records** 17](#_Toc155349546)

[**4.3.3** **Preservation of Electronic Records** 17](#_Toc155349547)

[**4.3.4** **Security** 17](#_Toc155349548)

[**4.3.5** **Storage Reviews** 18](#_Toc155349549)

[**4.3.6** **Recovery of Lost Information** 18](#_Toc155349550)

[**4.4** **Identified Areas for Improvement** 18](#_Toc155349551)

[**5** **Principle Five: Retention and Disposal** 19](#_Toc155349552)

[**5.1** **Retention and Disposal Authority/Sector Disposal Authority** 19](#_Toc155349553)

[**5.1.1** **Retention and Disposal Authority Review** 19](#_Toc155349554)

[**5.2** **General Retention and Disposal Authority for State Government Information (GRDASG)** 19](#_Toc155349555)

[**5.3** **Disposal of Source Records** 20](#_Toc155349556)

[**5.4** **Existing Ad Hoc Disposal Authorities** 20](#_Toc155349557)

[**5.5** **Existing Disposal Lists** 20](#_Toc155349558)

[**5.6** **Restricted Access Archives** 21](#_Toc155349559)

[**5.7** **Transfer of Archives** 21](#_Toc155349560)

[**5.8** **Non-Transfer of Archives** 21](#_Toc155349561)

[**5.9** **Retention and Disposal Program Implemented** 22](#_Toc155349562)

[**5.10** **Authorisation for Disposal of Records** 22](#_Toc155349563)

[**5.11** **Identified Areas for Improvement** 22](#_Toc155349564)

[**6** **Principle Six: Compliance** 23](#_Toc155349565)

[**6.1** **Staff Training, Information Sessions** 23](#_Toc155349566)

[**6.2** **Brochures or Newsletters** 23](#_Toc155349567)

[**6.3** **Induction Programs** 24](#_Toc155349568)

[**6.4** **Performance Indicators** 24](#_Toc155349569)

[**6.5** **Agency’s Evaluation** 24](#_Toc155349570)

[**6.6** **Annual report** 24](#_Toc155349571)

[**6.7** **Identified Areas for Improvement** 25](#_Toc155349572)

[**7** **SRC Standard 6: Outsourced Functions** 26](#_Toc155349573)

[**7.1** **Outsourced Functions identified** 26](#_Toc155349574)

[**7.2** **Record keeping Issues Included in Contracts** 26](#_Toc155349575)

[**7.2.1** **Planning** 26](#_Toc155349576)

[**7.2.2** **Ownership** 26](#_Toc155349577)

[**7.2.3** **Control** 26](#_Toc155349578)

[**7.2.4** **Disposal** 27](#_Toc155349579)

[**7.2.5** **Access** 27](#_Toc155349580)

[**7.2.6** **Custody** 27](#_Toc155349581)

[**7.2.7** **Contract Completion** 27](#_Toc155349582)

[**7.3** **Identified Areas for Improvement** 27](#_Toc155349583)

**Attachments**

Attachment 1 –

Attachment 2 –

*[Insert attachment title and page numbers. Add to list of attachments as required.]*

**Introduction**



This document is presented to the State Records Commission in accordance with

Section 19 of the *State Records Act 2000* (the Act), which requires each government organisation to have a record keeping plan that has been approved by the State Records Commission.

**OR**

Section 28 of the *State Records Act 2000* (the Act). Section 28 (5) of that Act requires that no more than 5 years must elapse between approval of a government organisation’s record keeping plan and a review of it.

*[Insert/delete section for ‘New’ (section 19) or ‘Amended’ Plan (Section 28) as appropriate.]*

State Records Commission (SRC) Standard 1 – *Government record keeping* requires that government organisations ensure that records are created, managed and maintained over time and disposed of in accordance with principles and standards issued by the SRC. SRC Standard 2 – *Record keeping plans* comprises six record keeping principles each of which contains minimum compliance requirements.

The purpose of this Recordkeeping Plan is to set out the matters about which records are to be created by the <Name of Organisation> and how it is to keep its records. The Recordkeeping Plan is to provide an accurate reflection of the record keeping program within the organisation, including information regarding the organisation’s record keeping system(s), disposal arrangements, policies, practices and processes. The Recordkeeping Plan is the primary means of providing evidence of compliance with the Act and the implementation of best practice record keeping within the organisation.

The objectives of the <Name of Organisation> RKP are to ensure:

* Compliance with Section 19 or 28 [*delete as appropriate]* of the *State Records Act 2000*;
* Record keeping within the organisation is moving towards compliance with State Records Commission Standards and Records Management Standard AS ISO 15489;
* Processes are in place to facilitate the complete and accurate record of business transactions and decisions;
* Recorded information can be retrieved quickly, accurately and cheaply when required; and the
* Protection and preservation of the organisation’s records.

In accordance with Section 17 of the Act, the <Name of Organisation> and all its employees are legally required to comply with the contents of this Plan.

This Recordkeeping Plan applies to all *[remove that which does not apply, add others as appropriate]*:

* <Name of Organisation> employees;
* <Name of Organisation> contractors:
* Members of <Name of Boards, Committees, Commissions, Tribunals etc>;
* Organisations performing outsourced services on behalf of the <Name of Organisation>; and
* Country and regional branches of the <Name of Organisation>.

This Recordkeeping Plan supersedes *[where applicable insert number of previous approved RKP]* and applies to all records created or received by any of the above parties, regardless of:

* Physical format;
* Storage location; or
* Date created.

For the purposes of this RKP, a record is defined as meaning “any record of information however recorded” and includes:

1. any thing on which there is writing or Braille;
2. a map, plan, diagram or graph;
3. a drawing, pictorial or graphic work, or photograph;
4. any thing on which there are figures marks, perforations, or symbols, having meaning for persons qualified to interpret them;
5. anything from which images, sounds, or writings can be reproduced with or without the aid of anything else; and
6. any thing on which information has been stored or recorded, either mechanically, magnetically, or electronically.”

(*State Records Act, 2000*)

1. **Principle One: Proper and Adequate Records**



*Government organisations ensure that records are created and kept which properly and adequately record the performance of the organisation’s functions and which are consistent with any written law to which the organisation is subject when performing its functions.*

* 1. **Historical Background**

*[Insert the following]:*

* *[Brief organisational history, indicating:*
  + - *the organisation’s establishment date;*
    - *names of predecessor organisations;*
    - *names/details of major Boards; Commissions; Committees; Tribunals etc administered, or previously administered by the organisation;*
    - *any amalgamations, separations and changes in functions, that may have occurred, including dates when these occurred and arrangements for custody and/or transfer of relevant records; and*
* *Essential relationships with other organisations.]*
  1. **Mission Statement**

*[Insert: the <Name of Organisation>’s mission statement].*

* 1. **Strategic Focus**

*[Insert: the <Name of Organisation>’s vision statement and/or main strategic focus].*

* 1. **Business Activity**

The main business activity of the <Name of Organisation> is:

*[Insert details of <Name of Organisation>’s main business activity(ies).]*

* 1. **Outsourced Functions**

The <Name of Organisation> outsources the following functions:

*[Insert details of outsourced functions.]*

* 1. **Major Stakeholders**

The <Name of Organisation> recognizes *[insert details of the organisation’s major stakeholders, whether employees, customers, general public, etc.]* as its major stakeholders.

* 1. **Enabling Legislation**

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

* 1. **Other Legislation**

Other legislation and regulations affecting the functions and operations of <Name of Organisation>, or administered by the <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; and*
* *[Insert details of other legislation/regulations which affect the organisation.]*
  1. **Major Government Policy and/or Industry Standards**

The following government and industry standards and codes of practice have been imposed upon or adopted by the <Name of Organisation>:

* *Australian Records Management Standard ISO/AS 15489*;
* Australian Accounting standards;
* National Competition Policy;
* *State Records Commission Principles and Standards;*
* WA Government Policy, Premier’s Circulars, Public Sector Commissioner’s Instructions and Circulars; and
* *[Insert/delete standards as appropriate.]*

1. **Principle Two: Policies and Procedures**



*Government organisations ensure that record keeping programs are supported by policy and procedures.*

* 1. **Records Management and Business Information Systems**

*[Provide an overview of the organisation’s records management system/s and* ***major*** *information systems containing corporate records].*

* + 1. **Records Management System**

*[The overview should include, as appropriate:*

* *Whether the records management system is manual or automated, e.g. is there a manual file listing on an Excel spreadsheet (or similar) or has an electronic records system been implemented, such as Content Manager, Objective, etc;;*
* *Whether the system is paper based, electronic or a hybrid system, ie are records held in hard copy; electronic format; or a combination of paper and electronic;*
* *When the system currently in use was implemented;*
* *If applicable, how the change from one system to another was managed;*
* *Whether the organisation is planning to change the records management system; and*
* *Any additional details considered relevant.]*
  + 1. **Business Information Systems**

*[These may include, but are not limited to: financial management systems; human resource management systems; case management systems; licensing systems; etc.*

*The overview should include, as appropriate:*

* *The name of the system/s and a brief description of the records, documents or data held in each system;*
* *Which, if any, of the systems are integrated with the records management system; and*
* *Any additional details considered relevant.]*
  1. **Records Management Policy and Procedures**

The creation and management of the <Name of Organisation>’s records is coordinated by the organisation’s *Corporate Information Unit/Records Officer [amend title as appropriate]*.

For the record keeping policy and procedures of the <Name of Organisation> please refer to Attachment 1.

*[Attach policy and procedure manual or documentation. Note: In the absence of either a policy and procedures manual or individual policy and procedure documents, the organisation may adopt the RKP as the “manual” and must include statements addressing the following, demonstrating that:*

* *The policies and procedures have been established;*
* *The roles and responsibilities for all employees are defined;*
* *The organisational scope of the policies and procedures has been addressed e.g. their applicability to regional branches or outsourced contractors; and*
* *The policies and procedures have been authorised at an appropriate senior level and are available to all employees.*

***AND*** *provide detailed descriptions of current practices in relation to all sections listed below.]*

The policy and procedures manual covers the following record keeping activities: *[Amend as appropriate]*

* Correspondence capture and control – including incoming and outgoing mail registration; responsibilities assigned for classifying, indexing and registration; file titling and file numbering conventions;
* Digitisation – including categories of records digitised; disposal of source records; Digitisation Specifications (**NB:** *This procedure is only required where the organisation intends to destroy source records prior to the expiration of the approved minimum retention period after digitising, in accordance with the General Disposal Authority for Source Records*.)
* Mail distribution – including frequency, tracking mechanisms and security measures;
* File creation and closure – including assigned responsibility and procedures for both physical and automated file creation;
* Access to corporate records – including procedures for access to and security of corporate records;
* Authorised disposal of temporary records (whether hard copy or electronic) and transfer of State archives to the State Records Office – any assigned responsibilities;
* Electronic records management – including the organisation’s approach and methodology for the capture and management of its electronic records (e.g. use of EDRMS, hybrid system etc);
* Email management – including the capture, retention and authorised disposal of email messages to ensure accountability. (e.g. use of EDRMS, hybrid system etc);
* Website management – including the purpose of the site (e.g. whether informational/transactional), capture of all information published to the website within the corporate records management system, and mechanisms for recording website amendments (e.g. content management system);
* Metadata management – including requirements for capture of metadata in information systems, whether automatic or manual;
* System/s management – including any delegations of authority for the control and security of systems utilised by the organisation (e.g. provision of access to systems through individual logins and passwords, protection of servers etc);
* Migration strategy – strategies planned or in place for migrating information and records over time (e.g. through upgrades in hardware and software applications) and any assigned responsibilities for long-term retention and access. See SRC Standard 8: *Managing Digital Information*;

*[Add any other policies and procedures relating to record keeping for the organisation.]*

* 1. **Certification of Policies and Procedures**

Evidence of formal authorisation that the policies and procedures are in place and circulated throughout the <Name of Organisation> is provided by the copy of the certification document signed by the CEO *[amend this statement as necessary]*. Please refer to Attachment 2.

* 1. **Evaluation of Policies and Procedures**

The record keeping policies and procedures for the <Name of Organisation> cover all categories identified in Principle 2 of SRC Standard 2 and are assessed as operating efficiently and effectively across the <Name of Organisation>.

*Or [delete as appropriate]*

The record keeping policies and procedures for the <Name of Organisation> do not cover the following categories: *[insert as appropriate]* and will be amended to cover all categories identified in Principle 2 of SRC Standard 2 by *[insert proposed timeline for completion, e.g. June 2025]*.

1. **Principle Three: Language Control**



*Government organisations ensure that appropriate controls are in place to identify and name government records.*

* 1. **Keyword AAA Thesaurus Implemented**

The <Name of Organisation> has adopted and implemented the Keyword AAA thesaurus for the titling of administrative records.

A complementary functional thesaurus has been developed and merged with Keyword AAA to ensure a uniform titling system is in place for all records within the organisation. A list of several functional keywords developed for the <Name of Organisation>, with their scope notes, is attached (please refer to Attachment 3).

*OR*

* 1. **Thesaurus (Other than Keyword AAA) Implemented**

The <Name of Organisation> has developed and implemented its own thesaurus which covers both administrative and functional records, in all formats. A sample of the terms used and their scope notes is attached (please refer to Attachment 3).

*OR*

* 1. **File Plan/List of Subject Headings / List of Authorised Headings**

The <Name of Organisation> has developed a *File Plan/List of subject headings/List of authorised headings [delete as appropriate]* to control the titling of records. The *[insert appropriate name]* covers both administrative and functional records *[correct this statement as necessary]*. The *File Plan/List of subject headings/List of authorised headings [delete as appropriate]* is attached (please refer to Attachment 3).

* 1. **Assessment of its Effectiveness**

The *merged thesaurus/thesaurus/file plan/List of subject headings/List of authorised headings [delete as appropriate]* operates well within the <Name of Organisation>. It covers both administrative and functional activities of the <Name of Organisation>, is available for use by all staff and information can be filed and found without difficulty. This tool will be adjusted to reflect changes to the functions and activities of the <Name of Organisation> as may occur from time to time.

*OR*

The *merged thesaurus/thesaurus/file plan/List of subject headings/List of authorised headings [delete as appropriate]* is inadequate for the business requirements of the <Name of Organisation>. It will be revised *completely/where necessary [delete as appropriate]*, amended and implemented for use by [*insert proposed timeline for completion, e.g. June 2017]*.

* 1. **Identified Areas for Improvement**

*[Where the thesaurus/file plan/list of subject headings has been shown to be inadequate and the agency has identified areas where improvement is needed, these should be described along with the strategies for undertaking improvements and the proposed timeline for completion.]*

1. **Principle Four: Preservation**



*Government organisations ensure that records are protected and preserved.*

For the *Disaster Management Plan/Records Disaster Recovery Plan [delete as appropriate]* for <Name of Organisation> please refer to Attachment 4.

*[Note: Where records disaster recovery strategies have been incorporated into an organisation wide Disaster Management Plan (DMP), Attachment 4 may include only that relevant section of the DMP, if it demonstrates that all elements of the Assessment of Risks, Assessment of the Impacts of Disasters and Strategies for Prevention and Response have been addressed, the roles and responsibilities for all employees are defined, the organisational scope of the plan has been addressed e.g. applicability to regional branches or outsourced contractors, and the plan has been authorised at an appropriate senior level and is available to all employees.]*

* 1. **Assessment of Risks**
     1. **On Site Storage**

The <Name of Organisation> has its current and active records located in onsite storage at *[insert location/s]*. The storage facility includes:

* *Metal shelving,*
* *Fire retardant safe,*
* *Secure premises,*
* *Secure server room,*
* *Fire detection system and/or fire suppression system, and*
* *Airconditioning for [insert number of hours per day].*

*[Amend dot points as appropriate].*

The main disaster threatening records stored onsite comes from *fire/flood/cyclone/industrial accident/vandalism or pests [delete or insert as appropriate]*. With the storage conditions as described here the risk is assessed as *low/medium/high [delete as appropriate]*.

* + 1. **Offsite Storage**

Records held offsite are located in a commercial storage facility, operated by *[insert name of company]*, approved under the Common Use Contract CUAREC2015 for the supply of storage, retrieval and destruction for paper and electronic records services, approved by the Department of Finance on 15 July 2015. Records stored at this facility include electronic records which are held in conditions deemed to be appropriate for this medium *[amend as appropriate]*.

*AND / OR*

Records held offsite are located in a *basement/attic/outside shed/rented accommodation/sea container/other [amend/delete as appropriate]* building at *[insert address]*. Records stored at this facility include the following formats: *[insert types of records]*.

*[For offsite storage facilities* ***OTHER THAN*** *those approved under the CUA, provide a general description of the storage facility e.g. a basement / attic / outside shed / rented accommodation / sea container / shed at the works depot, and include such things as:*

* *Security of premises / facility;*
* *Fire detection / suppression system;*
* *Fire retardant safe / cabinets;*
* *Airconditioning for [insert number of hours per day];*
* *Type of shelving e.g. metal.*

*[Amend dot points as appropriate].*

The main disaster threatening records stored offsite comes from *fire/flood/cyclone/industrial accident/vandalism or [delete or insert as appropriate].* With the storage conditions as described here the risk is assessed as *low/medium/high [delete as appropriate].*

* + 1. **Data Centre and Cloud Storage**

*[Use the table below to enter details of any third party data centres and/or cloud storage facilities utilized by the organisation for storage of electronic data, digital information and records (including all business systems and the categories of records stored)]*

The <Name of Organisation> has entered into an arrangement with [a] third party/ies to store electronic data/digital information and records in data centres/cloud storage facility as detailed in the table below. The arrangement includes provisions for security and access; preservation; and return of the data. *[Amend as appropriate]*

A risk assessment was undertaken prior to the commencement of the data storage arrangement.

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Information system / categories of records** | **Name of service provider** | **Geographic location of data centre / cloud storage** | **Geographic location of data centre / cloud storage backups** | **Risk assessed Y/N** |
|  |  |  |  |  |
|  |  |  |  |  |

* + 1. **Storage of Archives**

*[Provide a statement to address the steps the organisation has taken to ensure that State archives (in all formats) in its custody are maintained in accordance with the Directions for keeping State archives awaiting transfer to the State Archives Collection.]*

* + 1. **Storage of Backups**

Electronic backups of the <Name of Organisation>’s electronic information are held offsite at *[insert location]* and transferred there on a *[daily/weekly/etc]* basis.

* + 1. **Quantity of Records**

The <Name of Organisation> has custody of:

* *[insert number]* linear metres of hard copy State archives, as identified under relevant approved retention and disposal authority, stored onsite/offsite.

*[****Note:***

1. *To measure in linear meters, measure the length of the hard copy files / boxes on a shelf. This is the linear meterage.*

*If records are boxed in standard type 1 archive boxes, (385mm x 250mm x 168mm) these measure 0.16m in width. So, x number of boxes multiplied by 0.16.*

*Commercial archive boxes (e.g. Recall boxes) are typically wider so the measurements will change.*

*If you are converting square metres into linear metres, the conversion is 1sqm = 12 linear metres for standard compactus shelving.*

1. *Do not include quantity of archives which have already been transferred to the State Records Office (SRO)].*

***NOTE:*** *Do not include quantity of archives which have already been transferred to the State Records Office (SRO)].*

* + 1. **Security and Access**

*[Include a statement to indicate whether security of records storage areas, including server rooms, and availability of access to records have been assessed for risk.]*

* 1. **Assessment of the Impacts of Disasters**

As stated previously, the risk of a disaster occurring to the records of the <Name of Organisation> has been assessed as *low/medium/high [delete as appropriate]*. The impact of a disaster on the organisation’s records has therefore been assessed as *low/medium/high [delete as appropriate]*. There are sufficient strategies in place to ensure that business activities of the organisation are not unduly affected in the event of the more likely disaster occurring. *[Amend as appropriate]*.

* 1. **Strategies in Place for Preservation and Response**

The following strategies have been implemented by the <Name of Organisation> in order to reduce the risk of disaster and for quick response should a disaster occur:

* + 1. **Vital Records Program**

A vital records program has been developed for the <Name of Organisation>. Vital records have been identified as *[list categories of vital records for the Organisation]*.

Vital records in hard copy are stored in a locked, fire resistant safe, accessible to *[name positions]*. These records have been copied and the copies are placed on the relevant files and are used for all normal business activities.

*[Where the practice is different from the above statement, amend as appropriate. Add details of other procedures in place for vital records, e.g. a register of vital records, whose responsibility, review of the status of vital records at regular intervals e.g. annually]*.

* + 1. **Backup Procedures for Electronic Records**

Electronic records of the <Name of Organisation> are backed up *daily/weekly/monthly/six monthly [delete/alter as appropriate]*. The back-ups are stored offsite.

*[As applicable, provide details of tape rotation, how long backups are retained (e.g. before being overwritten) and processes for testing (e.g. that backups were completed successfully and that information is retrievable over time).]*

* + 1. **Preservation of Electronic Records**

The <Name of Organisation> has implemented the following processes to ensure that electronic records are accessible and readable for as long as required:

*[Amend as appropriate]*

* Media used to store electronic information is periodically checked *[include frequency]* to ensure the information is accessible and readable;
* Digital storage media, including removable storage devices, is refreshed as necessary to prevent data loss *[include a brief description of the process]*; and
* Electronic records requiring long term retention are maintained in an appropriate format for long term preservation *[include a brief description of the process]*.
  + 1. **Security**

The following security measures have been implemented by the <Name of Organisation> to prevent unauthorized access to records:

* Hard copy records are stored in a locked/secure room accessible only to records staff. *A bar code system is in place to enable the tracking of records. [Amend as appropriate]*.
* Hard copy records stored offsite are located at *[insert details, whether or not at a commercial facility approved under the common use contract, and describe conditions]*.
* Electronic records have varying degrees of access depending on delegations assigned to staff within the organisation. Electronic records are backed up on a regular basis as described previously.
* Access to server rooms is restricted to authorized staff using swipe card access. *[Amend as appropriate]*

*[Add other relevant security measures which are in place in the organisation.]*

* + 1. **Storage Reviews**

The records storage facility*(ies)* utilized by the <Name of Organisation> are reviewed regularly *[state how often]* to ensure that conditions are appropriate for the organisation’s records. *[Provide details of when the records storage facilities were last reviewed and the outcome of that review, including any actions planned or completed.]*

* + 1. **Recovery of Lost Information**

The <Name of Organisation> has developed a set of quick response strategies to recover lost information, in all formats, should a disaster occur.

*[Provide a brief description of the strategies, such as:*

* *duplication of hard copy vital records;*
* *back up of electronic records;*
* *offsite storage of backups;*
* *A records disaster recovery kit (i.e. equipment for use in the event of a disaster; etc)].*
  1. **Identified Areas for Improvement**

*[Where the elements of Assessment of Risks/Assessment of the Impacts of Disasters/Strategies in Place for Prevention and Recovery have been shown to be inadequate and the agency has identified areas where improvement is needed, these should be described along with the strategies for undertaking improvements and the proposed timeline for completion.]*

1. **Principle Five: Retention and Disposal**



*Government organisations ensure that records are retained and disposed of in accordance with an approved disposal authority.*

* 1. **Retention and Disposal Authority/Sector Disposal Authority**

*[Delete as appropriate]*

The Retention and Disposal Authority (RDA)/Sector Disposal Authority *[Delete as appropriate]*, DA *[insert number]*, covering all functional records of the <Name of Organisation> was approved by the State Records Commission on *[dd/mm/yyyy]*.

*AND*

Previously approved RDA / Sector Disposal Authority *[Delete as appropriate]* covering functional records of the <Name of Organisation> and superseded by DA *[insert number]*, are:

* *[List details of previously approved RDAs]*
  + 1. **Retention and Disposal Authority Review**

*[Delete as appropriate.* ***NB:*** *where the organisation’s records are covered by a Sector Disposal Authority, section 5.1.1 should be deleted]*

The RDA, DA *[insert number]*, has been reviewed and a report on the review was submitted to the State Records Commission on *[insert date]*. The RDA *does not require amendment/is to be amended by [Insert date]/is to be fully revised by [Insert date]. [Delete as appropriate]*

*OR*

The RDA, DA *[insert number]*, has been reviewed.

*[Include a statement regarding the outcome of the review, including whether:*

* *The organisation’s functions have changed significantly;*
* *New categories of records have been identified or created; or*
* *Existing disposal decisions have been re-considered or changed.*

***NB****: If it is established that the RDA requires amendment or a full revision, the SRO should be consulted before the organisation commences that work.]*

*OR*

The RDA, DA *[insert number]*, is due for review by *[insert date]*. A report of the review will be submitted to the State Records Commission before that date.

* 1. **General Retention and Disposal Authority for State Government Information (GRDASG)**

The <Name of Organisation> has implemented the GRDASG produced by the State Records Office for disposal of administrative, financial and accounting and human resource management records.

* 1. **Disposal of Source Records**

*[Section 16 (5) of the State Records Act 2000 makes provision for the Recordkeeping Plan to identify government records being reproduced in another form, and for the destruction of a government record if a reproduction of it is being kept, even though the destruction occurs at a time when the record would otherwise not be able to be lawfully destroyed.*

***NB****: This section is only required where the organisation intends to destroy source records prior to the expiration of the approved minimum retention period after digitising.]*

The <Name of Organisation> has established procedures to scan all incoming, hard copy, correspondence *[amend as required]* in accordance with the requirements of the *General Disposal Authority for Source Records* and the *Digitisation Specification*. The original hard copy correspondence, once reproduced electronically, will be treated as copies/duplicates and as such will be retained for *[Insert time period the source records will be retained]* to meet operational requirements and then destroyed. Refer to Attachment 5 for full documentation of the risk assessment, scanning procedures, quality control and other processes.

* 1. **Existing Ad Hoc Disposal Authorities**

*[Ad Hoc Disposal Authorities are documents developed in consultation with the State Records Office and approved by the State Records Commission. They are not internal documents that may be created by the organisation as a part of a retention and disposal program. If you are unsure if your organisation has any approved Ad Hoc Disposal Authorities please contact the SRO for advice.]*

The <Name of Organisation> has the following approved Ad Hoc disposal authorities which have been implemented. The records to which they apply are *no longer extant or have been transferred to the SRO for permanent retention as State archives [amend as required]*.

* AD *[insert number], [insert brief details including date range and type of records covered],*

*[Add dot points as required for more than one Ad Hoc.]*

* 1. **Existing Disposal Lists**

*[Disposal Lists are documents developed in consultation with the State Records Office and approved by the State Records Commission. They are not internal documents listing records for destruction or transfer that may be created by the organisation as a part of a retention and disposal program. If you are unsure if your organisation has any approved Disposal Lists, please contact the SRO for advice.]*

The following Disposal Lists have been approved and have been implemented. The records to which they apply *are no longer extant or have been transferred to the SRO for permanent retention as State archives [amend as required]*.

* DL *[insert number], [insert brief details including date range and type of records covered],*

*[Add dot points as required for more than one Disposal List.]*

* 1. **Restricted Access Archives**

*[Delete as appropriate]*

Details of restricted access archives are included in DA *[insert number]*

*AND / OR*

*[If the organisation intends to restrict access to State archives sentenced under the General Retention and Disposal Authority for State Government Information when they are transferred to the SRO, then details about the following are to be included here.*

* *The categories of records that are to be restricted;*
* *The reasons for restriction; and*
* *The proposed open access date (or restriction period).]*

*The following State archives will have restricted access for [insert number] years:*

* *[Insert records categories as appropriate.]*

*OR*

The <Name of Organisation> does not have any State archives to which it intends to restrict access when they are transferred to the SRO.

* 1. **Transfer of Archives**

An Archives Transfer Request form *has/has not* *[delete as appropriate]* been submitted to the SRO *[include date submitted if applicable]*.

The <Name of Organisation> will transfer State archives to the State Archives Collection for permanent preservation when requested by the SRO.

* 1. **Non-Transfer of Archives**

SRC Standard 7: *State Archives retained by Government Organisations* provides for organisations to retain State archives older than 25 years.

*[Delete as appropriate]*

Details of State archives that the <Name of Organisation> will not transfer to the SRO are included in DA *[delete as appropriate and insert number]*.

State archives remaining in the custody of <Name of Organisation> will be kept in accordance with the SRC Standard 7: *State Archives retained by Government Organisations,* Principles 2-7.

*AND / OR*

*[If the organisation intends to retain in its custody State archives sentenced under the GRDASG, which are more than 25 years old, and not transfer them to the SRO, then details as outlined below will need to be included.]*

The <Name of Organisation> intends to retain the following State archives and not transfer them to the SRO. The State archives will be maintained by the <Name of Organisation> and will be kept in accordance with SRC Standard 7: *State Archives retained by Government Organizations,* Principles 2-7.

* *[Insert records categories as appropriate, including the GRDASG Authority number.]*
* *[Justification for retaining the records]*
* *[Statements providing evidence of compliance with SRC Standard 7,Principles 2-7 attach supporting documentation as appropriate]*

*OR*

The <Name of Organisation> has not identified any State archives that will not be transferred to the SRO for permanent preservation.

* 1. **Retention and Disposal Program Implemented**

The <Name of Organisation> has a regular *[insert frequency e.g. annual]* retention and disposal program. The <Name of Organisation>’s Retention and Disposal Authority(ies), DA *[insert number]*, *[include all current DA numbers]* and the *General Retention and Disposal Authority for State Government Information* have been fully implemented within the organisation. Please refer to Attachment 6 for a copy of the disposal procedure *[if not included in Principle 2]* and a recent authorised list of records for disposal *[amend as required]*.

*[****NB****: Include only a section of the list of records (up to three pages) and the signatories.]*

*OR*

The <Name of Organisation> will implement a regular retention and disposal program on an *[insert frequency e.g. annual]* basis with the approval of the RDA which is a component of this Recordkeeping Plan. *[insert proposed timeline for completion, e.g. June 2024]*.

* 1. **Authorisation for Disposal of Records**

Before any records are destroyed or transferred to the SRO, a list of those records due for destruction or transfer is reviewed by *a senior manager* *[insert name of position]* in the organisation and authorised for destruction or transfer.

* 1. **Identified Areas for Improvement**

*[Where the retention and disposal program/authorisation for disposal of records has been shown to be inadequate and the agency has identified areas where improvement is needed, these should be described along with the strategies for undertaking improvements and the proposed timeline for completion.]*

1. **Principle Six: Compliance**



*Government organisations ensure their employees comply with the record keeping plan.*

* 1. **Staff Training, Information Sessions**

The <Name of Organisation> has implemented the following activities to ensure that all staff are aware of their record keeping responsibilities and compliance with the Recordkeeping Plan:

* Presentations on various aspects of the <Name of Organisation>’s record keeping program are delivered on a *[insert frequency e.g. regular/ad hoc]* basis to *[insert all staff/branches or units within the organisation]* by records staff;
* In-house training sessions are conducted for the organisation’s staff by records officers or other *[please state]*;
* From time to time an external consultant is brought in to run a training session for staff. Staff are also encouraged to attend training courses outside the organisation whenever practicable; and/or
* Staff information sessions are conducted on a *[insert frequency eg regular/ad hoc]* basis for staff as required.

*[Delete/add/amend as appropriate.]*

Coverage of the training/information sessions as detailed here extends to all staff. However, records management staff are offered more frequent and more specialised training where required.

*[Attach samples of presentations/training manual contents page if appropriate]* Please refer to Attachment 7.

*AND / OR*

* 1. **Brochures or Newsletters**

The <Name of Organisation> provides record keeping information to its staff through the following means:

* Brochure – *[insert “Title”]*;
* Newsletter – *[insert “Title”]*, issued *[weekly/monthly/bimonthly/irregularly]*; and
* Intranet – the <Name of Organisation>’s intranet is used to publish record keeping information; to highlight issues or to bring particular record keeping matters to the attention of staff.

*[Delete/add/amend as appropriate].*

*[Attach samples of brochures/newsletter if appropriate]*

Please refer to Attachment 8.

Information provided by these methods is reviewed by *[Insert name of position]* on a *[insert regularly/from time to time]* basis.

*[Delete/amend as appropriate]*

*AND*

* 1. **Induction Programs**

New employees are provided with the following information to ensure they are aware of their role and responsibilities in terms of record keeping within the <Name of Organisation>:

* Induction manual - please refer to Attachment 9 *[Attach table of contents and introduction]*;
* Training program provided by the records manager *[name of position]*;
* *[Add details of any other induction programs provided by the Organisation]*.

Induction programs are provided for all staff coming into the organisation.

* 1. **Performance Indicators**

The following performance indicators have been developed to measure the efficiency and effectiveness of the <Name of Organisation>’s record keeping systems:

* *[list methods of measurement]*;

*[As a guide, some basic but useful performance indicators might include:*

* *Staff survey eliciting feedback on use, effectiveness of record keeping system/training etc;*
* *Percentage of correspondence registered or captured into the record keeping system; and*
* *Percentage of accurate retrieval of information].*

*OR*

Performance indicators *[are being/will be]* developed to measure the efficiency and effectiveness of the <Name of Organisation>’s record keeping systems. It is planned to have these in operation by *[Insert date]*.

* 1. **Agency’s Evaluation**

On the basis of *[insert evaluation method used, e.g. survey of staff satisfaction/response times]*, the record keeping systems are assessed as being efficient and effective within the organisation.

*OR*

There is a need for some reviews of the <Name of Organisation>’s record keeping systems in the following areas *[List areas]*. These will be addressed by *[Insert date]*.

* 1. **Annual report**

An excerpt from the <Name of Organisation>’s latest Annual Report is attached, demonstrating the organisation’s compliance with the *State Records Act 2000*, its Recordkeeping Plan and the training provided for staff.

Please refer to Attachment 10.

* 1. **Identified Areas for Improvement**

*[Where the staff training/induction programs/performance indicators/evaluation of record keeping systems/annual reporting has been shown to be inadequate and the agency has identified areas where improvement is needed, these should be described along with the strategies for undertaking improvements and the proposed timeline for completion.]*

1. **SRC Standard 6: Outsourced Functions**



*The purpose of this Standard, established under Section 61(1)(b) of the State Records Act 2000, is to define principles and standards governing contracts or arrangements entered into by State organisations with persons to perform any aspect of record keeping for the organisation.*

*State organisations may enter into contracts or other arrangements whereby an individual or an organisation is to perform a function or service for the State organisation, or act as the State organisation’s agent to deliver services to clients, or for the State organisation’s own use. The general term ‘outsourcing’ is used for such arrangements.*

*Contractual arrangements should provide that the contractor create and maintain records that meet the State organisation’s legislative, business and accountability requirements.*

* 1. **Outsourced Functions identified**

The <Name of Organisation> outsources the following functions:

* *[List of functions outsourced].*

*OR*

Please refer to 1.5 above.

* 1. **Record keeping Issues Included in Contracts**

Please refer to Attachment 11 for excerpts of clauses addressing record keeping issues in contracts for outsourced functions.

* + 1. **Planning**

The <Name of Organisation> includes the creation and management of proper and adequate records of the performance of the outsourced functions detailed above, in the planning process for the outsourced functions.

*[Include further details about the planning process as appropriate].*

* + 1. **Ownership**

The <Name of Organisation> *has ensured/will ensure* *[delete as appropriate]* that the ownership of State records is addressed and resolved during outsourcing exercises. Where possible this will be included in the signed contract/agreement.

*[Include further details about the issue of ownership as appropriate].*

* + 1. **Control**

The <Name of Organisation> *has ensured/will ensure [delete as appropriate]* that the contractor creates and controls records in electronic or hard copy format, in accordance with record keeping standards, policies, procedures and guidelines stipulated by the <Name of Organisation>.

*[Include further details about the issue of control as appropriate].*

* + 1. **Disposal**

The disposal of all State records which are the product of or are involved in any contract/agreement with the <Name of Organisation> and a contractor/agent will be disposed of in accordance with the *<Name of Organisation>’s approved Retention and Disposal Authority/[Insert name] Sector Disposal Authority* *[delete as appropriate]* or the *General Retention and Disposal Authority for State Government Information* published by the SRO.

[*Include further details about the issue of disposal as appropriate].*

* + 1. **Access**

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

*[Include further details about the issue of access as appropriate].*

* + 1. **Custody**

Custody arrangements between the <Name of Organisation> and the *contractor(s)/agent(s)* *[Amend as appropriate]* for State records stored on and off site by the contractor are specified in the contract/as follows:

* *[To be completed]*.
  + 1. **Contract Completion**

All arrangements regarding record custody, ownership, disposal and transfer upon the completion of the *contract(s)/agreement(s)* *[Amend as appropriate]* are specified in the *contract(s)/agreement(s)* as follows:

* *[To be completed]*.
  1. **Identified Areas for Improvement**

*[Where the outsourced functions have not been identified and/or record keeping issues addressed in contracts for outsourced functions has been shown to be inadequate and the agency has identified areas where improvement is needed, these should be described along with the strategies for undertaking improvements and the proposed timeline for completion.]*