

**RECORDKEEPING PLAN REVIEW REPORT TEMPLATE**

***Instructions for Use***

Your organisation’s existing Recordkeeping Plan (RKP) must be reviewed in accordance with **Section 28 ‘Review of plans’** of the *State Records Act 2000;* and submitted to the State Records Commission.

To conduct a review, you should address these four questions and assess whether an amendment to your RKP is required:

* Do record keeping practices within your organisation meet business and legislative requirements?
* Have your record keeping practices changed since your RKP was approved?
* Have your records storage arrangements changed since your RKP was approved?
* Are you implementing an approved and updated retention and disposal authority/ies?

**How to Use the Template**

1. Where <Name of Organisation> appears, insert the name of your agency
2. Specify ‘Yes’ or ‘No’ to the questions provided and add explanatory information if required. *<Instructions are shown in italics inside angle brackets, indicating that information should be inserted/deleted/amended as appropriate>*
3. Complete the CEO Certification page and identify whether an amendment to the RKP is required.

***You are NOT required to attach supporting documents to this review report. The State Records Office may request access to documentation as part of any assessment of your report on behalf of the State Records Commission (the Commission), or in preparation for submission to the Commission.***

***CEO approval is required, this may be via an electronic signature, or via your organisation’s usual approval processes (e.g. email approval attached with review report).***

***Please submit your review report to the State Archivist and Executive Director State Records Office, via*** [***sro@sro.wa.gov.au***](mailto:sro@sro.wa.gov.au)***, for referral to the Commission.***

**For enquiries contact the State Records Office:**

**Phone: (08) 9427 3600**

**Email:** [**sro@sro.wa.gov.au**](mailto:sro@sro.wa.gov.au)

**Document Version**

This is a controlled document: Revision 1.1 (04 January 2024) Contact the State Records Office for previous published versions.

**This page is not to be included with your Report**

1. **Business Functions under RKP**

*Compare the information documented in your organisation’s approved RKP with the current operating environment.*

| No | Section | Compliance Requirement | Yes | No |
| --- | --- | --- | --- | --- |
| 1.1 | Business Activities | Have any business activities, including outsourced activities, or functions changed? |  |  |
| 1.2 | Major Stakeholders | Are there any changes to major stakeholders? |  |  |
| 1.3 | Enabling Legislation | Has the organisation’s enabling legislation changed? |  |  |
| 1.4 | Other Legislation | Are there any changes to (major) legislation administered by or affecting the functions and operations of the organisation? |  |  |

**If you have answered ‘YES’ to any of the above, please briefly explain in the table below:**

*<Add more table rows as necessary or Delete table if no changes are required>*

| Section | **Explanatory Notes** | **Planned Actions** |
| --- | --- | --- |
|  |  |  |
|  |  |  |

1. **Changes to Policies and Procedures**

*Compare the policy and procedure documentation in your organisation’s approved RKP with current practices.*

| No | Section | Compliance Requirement | Yes | No |
| --- | --- | --- | --- | --- |
| 2.1 | Record keeping Systems | Are all record keeping systems that create and keep records described in the RKP? |  |  |
| 2.2 | Are all business systems that create and keep records described in the RKP? |  |  |
| 2.3 | Policies and Procedures | Do the policy/ies and procedures for record keeping included in the RKP reflect current practice? |  |  |
| 2.4 | Are your policies and procedures approved by your organisation’s CEO? |  |  |
| 2.5 | Are record keeping policies and procedures disseminated to all staff? |  |  |

**If you have answered ‘NO’ to any of the above, please briefly explain in the table below:**

*<Add more table rows as necessary or Delete table if no changes are required>*

| Section/Activity | **Explanatory Notes** | **Planned Actions** |
| --- | --- | --- |
|  |  |  |
|  |  |  |

1. **Storage of digital and hard copy records**

*Identify whether an assessment of the risks to records has been conducted for any new storage arrangements.*

| No | Section | Compliance Requirement | Yes | No |
| --- | --- | --- | --- | --- |
| 3.1 | Assessment of Risks to records | Have you conducted a risk assessment for your storage of hard copy AND digital information? |  |  |
| 3.2 | Records Disaster Recovery Plan (RDRP) | Has the RDRP, or similar, been revised to reflect any changes to storage conditions, approved and implemented throughout the organisation for hard copy AND digital information? |  |  |

**If you have answered ‘NO’ to any of the above, please briefly explain in the table below:**

*<Add more table rows as necessary or Delete table if no changes are required>*

| Section/Activity | **Explanatory Notes** | **Planned Actions** |
| --- | --- | --- |
|  |  |  |
|  |  |  |

1. **Retention and Disposal**

*Identify whether retention and disposal authorities have been implemented within your organisation.*

| No | Section | Compliance Requirement | Yes | No |
| --- | --- | --- | --- | --- |
| 4.1 | Disposal Authorities | Do you have a Commission approved retention and disposal authority in place?  These include:   * General Retention and Disposal Authorities * Sector Disposal Authorities * Organisation Retention and Disposal Authorities |  |  |
| 4.2 | Disposal Program | Are you implementing a retention and disposal program using an approved retention and disposal authority? |  |  |

**If you have answered ‘NO’ to any of the above, please briefly explain in the table below:**

*<Add more table rows as necessary or Delete table if no changes are required>*

| Section/Activity | **Explanatory Notes** | **Planned Actions** |
| --- | --- | --- |
|  |  |  |
|  |  |  |

**CEO CERTIFICATION**

Tick as appropriate

|  |  |
| --- | --- |
| 1. **An amendment to the RKP is NOT required** as the RKP accurately reflects current functions, legislative requirements and record keeping practices within the organisation.   **Note:** In anticipation of a new Standard and revised record keeping plan requirements, a further review may be requested in two (2) years, under S.28 of the *State Records Act 2000*  I acknowledge and understand that the SRO may require a further review as noted above*.* |  |
| **OR** |  |
| 1. **An amendment to the RKP is required because:** 2. <Name of Organisation>’s business or functions or legislative requirements have changed in the past five years; or |  |
| 1. The RKP does **not**accurately reflect current record keeping practices within <Name of Organisation>; or |  |
| 1. The RKP does **not** reflect the current record storage arrangements; or |  |
| 1. <Name of Organisation> is **not** implementingan approved and up-to-date retention and disposal authority/ies, in accordance with its RKP |  |

If you have indicated that an amendment to the RKP is required, please provide the date that the amended RKP will be submitted to the State Records Office:

**AMENDED RKP SUBMISSION DATE:**

I confirm, to the best of my knowledge and belief, the information provided about the review is complete and accurate.

Signature Chief Executive Officer or Principal Officer, or delegate

Name Position

Name of organisation Date