

Guideline for Recordkeeping Plan Review Reports

Purpose

The purpose of this guideline is to assist government organisations to prepare a report of the review of their Recordkeeping Plan (RKP) by setting out the requirements for information to be included in the report.

Rationale

Section 28 of the *State Records Act 2000* requires that:

“no more than 5 years is to elapse between the approval of a government organization’s record keeping plan and a review of it or between one review and another”

and that a report of the review must be submitted to the State Records Commission. The report must be submitted via the State Records Office (SRO).

This guideline is designed to assist organisations with the preparation of the report of the RKP review.

Scope

This guideline is to be used by government organisations reporting on the review of their RKP.

Minimum Requirements

1. Review

The purpose of the review is to comply with section 28 of the *State Records Act* and to ensure that government recordkeeping systems are continually reviewed and improved to adequately meet business needs.

As part of the review process, organisations should revisit the approved RKP and the self-evaluation checklist to establish whether recordkeeping practices:

- have changed since the RKP was approved;
- are meeting the organisation’s business and legislative requirements; and
- are in need of improvement.

2. Report

The report of the review should be signed by the Chief Executive Officer (CEO) **or** must be accompanied by a covering letter signed by the CEO.

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The report should include but not be limited to:

- the process undertaken to conduct the review;
- what has been reviewed and why; and
- outcomes of the review – which might include:
 - the identification of practices that are working well;
 - the identification of practices which have changed;
 - the identification of practices which require change / improvement;
 - target dates for the changes to occur; and
 - whether an amendment to the RKP will be submitted.

3. Checklist

The report must be accompanied by a completed self evaluation checklist, signed by the CEO (checklist available from the SRO website at: <http://www.sro.wa.gov.au/src/rkps.asp#rkpguidelines>).

The checklist will enable a comparison of the organisation's current position against the previous checklist (submitted with the original RKP) to identify:

- progress towards better practice recordkeeping achieved since the RKP was approved; and
- areas for improvement.

4. Covering Letter

A covering letter, signed by the CEO, must accompany the written report.

NB: A covering letter is only required where the report is not signed by the CEO (see item 2 above).

Further Information

For further information please contact the State Records Office.

Contact details:

Phone: 9427 3365
Email: sro@sro.wa.gov.au
Website: <http://www.sro.wa.gov.au>