



Annual Reporting Requirements SRC Standard 2, Principle 6

Under Principle 6 of [SRC Standard 2: Recordkeeping Plans](#), government organizations' annual reports must include statements about compliance with their Recordkeeping Plans.

As a **minimum**, annual report statements are to address the following four points:

1. Evaluation of recordkeeping systems

- Describe any evaluation of the organization's recordkeeping systems (including the Recordkeeping Plan) that has taken place, or is planned for a future reporting period:
 - **"Recordkeeping systems"** - can include any recordkeeping infrastructure or processes in place within the organization, including policies, procedures, related documents, and records management software.
 - **"Evaluation"** - may be conducted via formal assessments (such as audits) or informal checks.
- The description may include the review methodology; areas reviewed; results; and remedial actions planned or undertaken. Statistics may be included as appropriate.

NOTE: Recordkeeping systems must be evaluated not less than every 5 years.

Examples:

- ✓ "The [organization's] Recordkeeping Plan was reviewed on [date] and the review report noted by the State Records Commission on [date]. The report commits to submitting an amended Recordkeeping Plan by [date]." **AND/OR**
- ✓ "The [organization's] recordkeeping policies and procedures were evaluated as part of an organisation-wide review on [date]. The review found that [results]. To address these issues, the [organization] will undertake to [action]."

2. Recordkeeping training program

- Describe the training mechanisms in place within the organization:
 - Training may either be via a formal program or an informal provision of relevant information to staff as required.
- The description may include training delivery methods and topics covered. Statistics may be included as appropriate.

Examples:

- ✓ "The [organization] conducts a regular training program for all staff covering [topic/s]." **AND/OR**
- ✓ "Two records management staff attended training provided by [external / internal training provider] on [date], covering [topic/s]." **AND/OR**
- ✓ "Information about the new Electronic Document Management System was provided to staff via [list training method/s, e.g. formal training sessions; one-on-one instruction by request; email updates; reference material]."



3. Evaluation of the recordkeeping training program

- Describe any evaluation of the recordkeeping training program that has taken place:
 - “**Evaluation**” - may be conducted via formal assessments (such as surveys) or informal checks.
- The description may include the review methodology; areas reviewed; results; and remedial actions planned or undertaken. Statistics may be included as appropriate.

Examples:

- ✓ “The [*organization’s*] training program was reviewed on [*date*] as part of an organization-wide recordkeeping audit. The review found that [*results*]. To address this, the [*organization*] will undertake to [*action*].”
OR
- ✓ “The recordkeeping training program was assessed by the [*officer or unit*] via a staff survey. Based on the survey results the program is working well within the [*organization*].”

4. Recordkeeping induction program

- This statement **must** confirm whether the induction program addresses employee roles and responsibilities in regard to compliance with the Recordkeeping Plan:
 - Other information about the induction program may be provided if not already included in the description of the training program, in point 2 above.

Examples:

- ✓ “The [*organization’s*] induction program is provided to all new staff within three months of commencement. The program includes an online recordkeeping course which outlines staff responsibilities to keep records as outlined in the Recordkeeping Plan.” **OR**
- ✓ “New employees received a face-to-face induction from the Records Manager, covering an overview of the Recordkeeping Plan, the Records Procedure Manual, and staff responsibilities, including the capture of emails and procedures for forwarding records for capture into the corporate system.”

The State Records Commission sponsors an annual specialist award as part of the Institute of Public Administration’s (WA) W.S. Lonnie Awards. The [State Records Commission Award](#) recognises excellence in reporting against the compliance requirements of SRC Standard 2, Principle 6. Details of current and past winners are published on the State Records Office’s website. Organizations are encouraged to view the winning entries for further examples of annual report statements.

For further information, contact the State Records Office on (08) 9427 3661 or via email at sro@sro.wa.gov.au.