



DA 2011-005

**Sector Disposal Authority for Regional  
Development Commissions**

DA Type: Sector

## Sector Disposal Authority for Regional Development Commissions

<b>Disposal Authority No</b>	2011-005
<b>Disposal Authority Type</b>	Sector
<b>Organisation/s</b>	[Regional Development Commissions]
<b>Disposal Authority Scope</b>	Sector Disposal Authority for the functional records of Regional Development Commissions, to supersede: RD 2004252 - Gascoyne Development Commission; RD 2005016 - Goldfields – Esperance Development Commission; RD 2003110 - Great Southern Development Commission; RD 2004028 - Kimberley Development Commission; RD 2007046 - Mid West Development Commission; RD 2004162 - Peel Development Commission; RD 2004096 - Pilbara Development Commission; RD 2004280 - South West Development Commission; and RD 2003097 - Wheatbelt Development Commission.
<b>Disposal Authority Status</b>	Approved by SRC
<b>Status Date</b>	24/12/2015

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## INTRODUCTION

### Important Note

This SDA will be used in combination with the State Records Office publication *General Disposal Authority for State Government Information* which covers records of activities / categories that are common across State government.

The *SRO Guideline: Records Retention and Disposal* will be consulted before any disposal of records is conducted, whether as part of a formal / regular disposal program or on an ad hoc basis.

### Records relevant to actual or alleged child sexual abuse and other records relating to children

The final report of the Commonwealth Royal Commission into Institutional Responses to Child Sexual Abuse, released on 15 December 2017, contains several recommendations concerning recordkeeping by government organizations undertaking child-related functions or activities.

Organizations must be mindful of records that document, or may otherwise be relevant to, actual or alleged incidents of child sexual abuse, and the care, supervision, education and treatment of children by government employees, contractors, volunteers and outsourced service providers in contact with children. Such records may be subject to specific retention instructions as issued by the State Records Office.

## 1. ABOUT THIS SCHEDULE

### 1 About this Disposal Authority

#### Background of Regional Development Commissions (RDCs)

The nine Regional Development Commissions (RDCs) cover the Gascoyne; Goldfields-Esperance; Great Southern; Kimberley; Mid West; Peel; Pilbara; South West and Wheatbelt regions in Western Australia, as specified by the *Regional Development Commissions Act 1993* (the Act).

The RDCs are State government statutory authorities whose role, defined in section 23 of the Act, is to facilitate and coordinate the development of the region in which they are based. The RDCs have a direct relationship with their communities through their leadership by local people and location in the regions and they are directly accountable to the Minister responsible for administering the Act (the Minister for Regional Development). RDCs are governed by Boards established under section 15 of the Act. The Board is the main decision-maker.

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The Royalties for Regions Fund enabled by the *Royalties for Regions Act 2009* has secured a dedicated funding source for regional development. The RDCs are responsible for all aspects of the administration of the Royalties for Regions Regional Grants Scheme. This includes undertaking assessments of Regional Grants Scheme applications, submitting assessments to the RDC Boards and to the Minister where appropriate, development of funding agreements with successful grant recipients, monitoring of each agreement against project milestones, ensuring the appropriate acquittal of grant funds and reporting to the Minister on the outcomes of approved grants.

## 1.1 Purpose of the Disposal Authority

This Disposal Authority is a management tool for identifying and determining the retention and disposal of government records held by RDCs. It contains valuable information and guidance to the RDCs in respect to the major categories of records they hold. It is therefore an important business tool and assists to guide compliance with legal obligations.

This Disposal Authority is the retention and disposal component of the Recordkeeping Plan of each RDC, as required under section 16(3)(a-c) of the *State Records Act 2000*.

The aims of this Disposal Authority are to:

- Identify RDC records which are worth preserving permanently as State archives and which will be transferred to the State Records Office of Western Australia for permanent storage;
- Prevent the premature destruction of records which need to be retained for a specific period to satisfy legal, financial and other requirements of public administration; and
- Authorise the destruction of those records not required for permanent retention.

## 1.2 Scope of the Disposal Authority

This Disposal Authority covers the functional or business records of all RDCs in WA.

This Disposal Authority supersedes:

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- *Gascoyne Development Commission RD 2004252*
- *Goldfields Esperance Development Commission RD 2005016*
- *Great Southern Development Commission RD 2003110*
- *Kimberley Development Commission RD 2004028*
- *Mid West Development Commission RD 2007046*
- *Peel Development Commission RD 2004162*
- *Pilbara Development Commission RD 2004096*
- *South West Development Commission RD 2004280*
- *Wheatbelt Development Commission RD 2003097*

This Disposal Authority applies to records in all formats. (See 3.1 Formats)

This Disposal Authority covers records held by all RDC offices in all locations in their regions. (See also 3.1.3.1)

Where appropriate this Disposal Authority provides directions to the relevant GDA. (See 2.2 General Disposal Authorities)

### 1.3 Revision of the Disposal Authority

The State Records Office, in conjunction with the RDCs, will review the structure and use of this Disposal Authority within five years of its approval. The revised Authority will be submitted to the State Records Commission for approval prior to its implementation.

If, in any RDC, any record categories are found, for example arising from a new function or a new record type, which are not covered by this Disposal Authority, they **must not be destroyed**. In such a situation the State Records Office must be contacted with a request to amend this Disposal Authority. No records in such a category are to be destroyed until approval is obtained from the State Records Commission to amend this Disposal Authority. Any unauthorized destruction of records is an offence under s78 of the *State Records Act 2000*.



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## Context

### 2. Recordkeeping Environment

RDCs create, receive and maintain a variety of records to fulfil statutory, business and accountability requirements.

#### 2.1 Legislation

The retention and disposal of RDC records falls primarily under the provisions of the *State Records Act 2000*. Relevant legislation includes, but is not limited to:

- *Regional Development Commissions Act 1993*
- *Regional Development Commissions Regulations 1994*
- *Royalties for Regions Act 2009*
- *State Records Act 2000*
- *Criminal Code Act 1913*
- *Electronic Transactions Act 2003*
- *Evidence Act 1906*
- *Financial Management Act 2006*
- *Freedom of Information Act 1992*
- *Limitation Act 2005*

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- *Public Sector Management Act 1994*

### 2.2 General Disposal Authorities (GDAs)

The following GDAs produced by the State Records Office will be used for the retention and disposal of RDC administrative records, financial and accounting records and human resource management records:

- General Disposal Authority for Administrative Records (GDAA);
- General Disposal Authority for Financial and Accounting Records (GDAFA); and
- General Disposal Authority for Human Resource Management Records (GDAHR).

### 2.3 Freedom of Information

The *Freedom of Information Act 1992* (FOI Act) prescribes rights and procedures for access to documents held by government organizations. If a request for access under the FOI Act has been lodged, all records relevant to the request must be identified and preserved until action on the request and on any subsequent reviews by the Information Commissioner or the Supreme Court are completed. This applies regardless of whether the records in question are due for destruction. FOI requests that have been identified as State archives must contain copies of the records that were the subject of the requests.

### 2.4 Investigations and Inquiries

If an Investigation or Inquiry is in progress (or likely or imminent), all records relevant to the Investigation or Inquiry must be identified and preserved until the action and any subsequent actions are completed.

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### **2.5 Publications Produced by RDCs**

Premiers Circular No. 2003/17, *Requirements for Western Australian Government Publications and Library Collections* requires that:

"Copies of all publications produced by public sector agencies and statutory authorities are to be deposited with the State Library of Western Australia and the National Library of Australia."

Four (4) copies of RDC publications are to be sent to the State Library of Western Australia and one (1) copy to the National Library of Australia in accordance with Premiers Circular 2003/17.

### **2.6 Records Relating to Aboriginal People**

#### **2.6.1 Premier's Circular No. 2003/02**

The Premiers Circular to Ministers No. 2003/02 requires that:

*"records relating to Indigenous individuals, families or communities or to any children, Indigenous or otherwise, removed from their families for any reason, whether held by government or non-government agencies, be brought to the attention of the Family Information Records Bureau (FIRB) and reflected in agency Recordkeeping Plans"*

Should an RDC identify any records that fall within the scope of the Premiers Circular, the FIRB is to be consulted.

#### **2.6.2 State Records Act 2000, S. 76**

It is unlikely that RDCs hold records that fall within the scope of section 76 of the *State Records Act 2000*. RDCs may hold copies of documents provided by other government agencies for information purposes relating to RDC projects in areas which concern Aboriginal sites or Aboriginal cultural material.

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Should an RDC identify original records which fall within the scope of section 76, the RDC is to consult the State Records Office.

### 3. RDC Records

#### 3.1 Formats

##### 3.1.1 Electronic Records

Electronic records are subject to the provisions of this Disposal Authority in the same way as hard copy or paper-based records. Where they are not printed and attached to a hard copy file they will be managed in electronic form to remain accessible for as long as they are required in accordance with this Disposal Authority and State Records Commission Standard 8: *Digital Recordkeeping*. Electronic records which are of continuing value will be migrated through successive upgrades of hardware and software for the required retention period, in accordance with State Records Policy Number 8, *Policy for the Ongoing Management of Electronic Records Designated as Having Archival Value*.

##### 3.1.1.1 Databases

Each RDC maintains several databases. Refer to Part C of this Disposal Authority for the retention and disposal decisions for major corporate databases and information systems held by RDCs.

##### 3.1.1.2 Websites

Electronic records held on an RDC website will be managed in accordance with the Guidelines for *State Government Websites*, currently maintained by the Public Sector Commission as part of the *Website Governance Framework*, State Records Office Policy No 8 *Policy for the*

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*Ongoing Management of Electronic Records Designated as Having Archival Value* and State Records Commission Standard 8: *Digital Recordkeeping*.

Each RDC maintains a website, which contains informational material only. Changes to website information are approved prior to publication by an authorised officer. Web pages are either printed before and after changes are made and the hard copy is filed or an electronic copy of the website is made twice yearly and retained permanently for reference and historical purposes.

Refer to Part C of this Disposal Authority for the retention and disposal decisions for RDC websites.

### 3.1.1.3 Social Media and Internet Based Applications

RDCs may employ various internet-based applications to communicate with internal and external clients. Such technologies include blogs, instant messaging services, file sharing applications, collaborative tools and wikis, and social networking applications such as Twitter and Facebook.

RDCs must be aware that **all records created or received on these applications in the course of business are State records**, which must be captured, managed and disposed of in accordance with legislative requirements.

The capability to capture and preserve records must be considered when these technologies / applications are being used or proposed for use within an RDC. Such applications must be integrated with recordkeeping programs to ensure that business records are captured. Refer to the State Records Office Guideline: *Management of digital records* for additional information.

### 3.1.2 Photographs and Audiovisual

Audiovisual records (including photographs, videotapes, films and audiotapes) are to be treated in the same manner as any other record format, and are to be sentenced in accordance with the subject matter to which they relate. The content of photographs must be identifiable, that is, the people, places, events and dates depicted in them must be identified. If the content cannot be identified, the RDC is to consult with the State Records Office.

The sentencing of audiovisual records must be considered in relation to:

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- Their subject matter; and
- Documentary material that relates to their creation and use.

A photograph, cassette tape or other audiovisual record should be viewed as part of a larger set of records, that is, those records that document why it was taken and how it was used. Disposition of audiovisual material must be consistent with these records.

### 3.1.3 Reproductions of Records

#### 3.1.3.1 Duplicates or Copies of State Records

Duplicates or copies of records are defined as exact copies of original records, that is, where no annotations have been made and where the original record forms part of an RDCs recordkeeping system. Such records may be destroyed once the originals have been captured into the recordkeeping system and when they are no longer needed for reference purposes.

An **RDC may have offices in several locations** in their region (e.g. the Wheatbelt DC have offices in Northam, Narrogin, Merredin and Moora) and one office may be designated as the regional head office. It may be that each office location holds the official or master file on a matter or there may be circumstances where the regional head office holds the official or master file on a matter (e.g. minutes of corporate meetings) and the records held by the other offices are duplicates for working purposes.

The official or master file (record), whichever office it is held in, is to be sentenced using this Disposal Authority or the General Disposal Authorities and the secondary or copy file may be destroyed when no longer needed for reference purposes.

#### 3.1.3.2 Destruction of source records that have been successfully digitized

Section 16 (5) of the *State Records Act 2000* provides that a Recordkeeping Plan may provide for a government record to be 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.

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With the general shift towards and reliance on digital records, RDCs may digitize records created or received in another format (source records) as part of normal business processes and activities.

Should an RDC digitize hard copy records with the intention to retain the reproductions as the official records of the RDC and to destroy the original hard copy source records (following successful digitization) before the minimum retention period applicable to those records, the process must be conducted in accordance with the *General Disposal Authority for Source Records* and State Records Commission Standard 8: *Digital Recordkeeping*. An RDCs digitization program (policies, procedures, processes) is to be fully documented in its Recordkeeping Plan.

### 3.2 Restricted Access Archives

A restricted access archive is "a State Archive that is a government record and to which access is restricted until it is of a certain age". (*State Records Act 2000* s.3). Part 6 of the *State Records Act 2000* provides for the restriction of certain categories of State archives.

The RDCs do not have any State archives that will require restrictions on access. Should an RDC consider restricting access to State archives, the RDC is to consult the State Records Office.

### 3.3 Archives Not Transferred to the State Records Office

The RDCs do not have any State archives that will not be transferred to the State Records Office. Should an RDC consider not transferring a State archive, the RDC is to consult the State Records Office.

## 4 RDC Recordkeeping Practices

### 4.1 Responsibility for Disposal of State Records

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Before any records are destroyed or transferred to the State Records Office they will be reviewed by the RDC Records Manager (or a similar administrative position), Corporate Services Manager and the Chief Executive Officer and authorized for destruction or transfer. A record of destroyed records and, where destruction is performed by an external contractor, certificates of destruction provided by the contractor to the RDCs authorized officer, will be retained.

### 4.2 Significance of Records

In several cases in this Disposal Authority it has been considered appropriate to split categories of records into two, such that some of the records within a category are Archive and some are Destroy. In these categories the term Significant has been used to identify records of archival value, and the term Other has been used to identify records that may be destroyed. The criteria for determining which records are Significant are included in the description of the relevant records categories.

The value of records may change over time. In assessing records that have reached their minimum retention period and are due for destruction, officers should consider those that may have potential business or historical value, for possible further retention or archiving. Records that appear to be of interest as archival records should be referred to the State Records Office for review and evaluation.

### 4.3 Recommended Methods of Destruction

The destruction of State records must be done completely so that no information is retrievable.

Hard copy (paper) records are to be destroyed by shredding, pulping or trommelling. Burning is not a recommended method of destruction, and should **only** be considered if there are no other destruction facilities available to the RDC. Records should only be burned in accordance with appropriate environmental guidelines and local burning restrictions, and RDCs should employ appropriate processes (e.g. use of incinerators) to ensure that records are completely destroyed.

Burying of State records is **not** an acceptable method of destruction.

Electronic records should be destroyed either by physical destruction of the storage medium (e.g. cutting, smashing, or pulverising) or by such methods as digital file shredding. Rewriting, degaussing and reformatting can be used to scramble data which makes recovery more difficult, but RDCs must be aware that data can still be retrieved after applying these methods. The use of the "Delete" function in software packages



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is **not** sufficient to destroy electronic records stored on media such as floppy disks, hard disks and rewritable optical disks, as the information may still be recovered. For more information see the State Records Office Guideline: *Sanitizing of Hard Discs and Magnetic Media*.

If records are stored on microform, film or tape (audio or video), the storage medium should be physically destroyed, or the information overwritten, so that no information is retrievable. Shredding, cutting or chemical recycling are appropriate methods of destroying such records.

## 5 Arrangement and Definitions of Terms used in the Disposal Authority

This Disposal Authority has been arranged in three parts:

- Part A covers RDC administrative records
- Part B covers RDC core business or functional records
- Part C covers RDC databases and website records

**Archive** - a record category identified as having archival value, that is to be transferred to the State Records Office for permanent retention as State archives.

**Archive within RDC** - a record category identified as having archival value, which the State Records Commission has approved to be retained permanently within an RDC or which is in electronic format. In the case of an RDC ceasing to exist and no successor agency identified, the State Records Office will be consulted.

**Description of Records** - describes the type of record covered within the section.

**Destroy** - a record category identified as having temporary value, and which ultimately will be destroyed.

**Disposal Action** - the final disposition will be Archive, Destroy, Archive within RDC or Retain within RDC.

**Disposal Trigger** - includes "after last action", which refers to the last date that a matter was noted on the records. Other disposal triggers include "after acquittal" and "after project completed".

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**Recommended Custody** - specifies the minimum retention period for which records are to be retained, onsite or offsite, prior to destruction or transfer to the State Records Office for permanent retention as State archives. Includes the action or trigger that begins the retention period.

**Ref No** - the reference number within the Disposal Authority.

**Retain within RDC** - a record category which has been identified as not having archival value, but will be retained permanently within an RDC. In the case of an RDC ceasing to exist and no successor agency identified, the State Records Office will be consulted.

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No	Function/Activity	Description	Disposal Action	Custody
1	<b>BOARD MANAGEMENT</b>	<p>Records relating to the administration of RDC Boards. Includes:</p> <ul style="list-style-type: none"> <li>• establishment; appointments and resignations; and</li> <li>• agendas, minutes, reports and supporting papers of Board meetings.</li> </ul> <p>Refer to the GDAA</p>		
1.1	<b>BOARD - WORKING PARTIES</b>	<p>Records of working parties formed by an RDC Board to gather information on, and/or develop strategies, for specific areas of interest.</p> <p><i>Working Party reports are tabled at Board meetings. Working Party reports, when attached to an appropriate project or subject file, are sentenced according to the project / subject to which they relate.</i></p>	Destroy	Retain 3 years after last action or when working party is disbanded, whichever is later, then Destroy.
2	<b>COMMUNITY RELATIONS</b>	<p>The management of RDC community or public relations and promotions activities. Includes general liaison with region / community groups and industry / business associations. Including, but not limited to:</p> <ul style="list-style-type: none"> <li>• addresses / presentations;</li> <li>• celebrations / ceremonies;</li> <li>• conferences / courses (including business and</li> </ul>		

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No	Function/Activity	Description	Disposal Action	Custody
<i>COMPENSATION</i>				
		<p>industry forums);</p> <ul style="list-style-type: none"> <li>• customer service;</li> <li>• donations (non-monetary);</li> <li>• enquiries;</li> <li>• liaison;</li> <li>• marketing / advertising;</li> <li>• media relations;</li> <li>• public reaction / complaints; and</li> <li>• visits.</li> </ul> <p>Refer to the GDAA</p>		
3	<b>COMPENSATION</b>	<p>The provision of compensation to RDC employees for accidents or injury or loss of property arising out of or in the course of their employment.</p> <p>Refer to the GDAHR</p>		
4	<b>EQUIPMENT AND STORES</b>	<p>The acquisition, supply, management, maintenance and disposal of equipment and stores used by the RDC.</p> <p>Refer to the GDAA &amp; GDAFA</p>		

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No	Function/Activity	Description	Disposal Action	Custody
<i>ESTABLISHMENT</i>				
5	<b>ESTABLISHMENT</b>	<p>The establishment, number, organization and structure of positions in the RDC.</p> <p>Refer to the GDAHR</p>		
6	<b>FINANCIAL MANAGEMENT</b>	<p>The management of RDC financial and accounting activities. Including, but not limited to:</p> <p>Accounting; acquisition; advances; allocation; audit; budgeting; creditors; debtors; disposal; financial statements; payments; policy; procedures; registers; reporting; salaries and wages; and tendering.</p> <p><i>See also Grants &amp; Funding in Part B of this Disposal Authority.</i></p> <p>Refer to the GDAFA</p>		
7	<b>FLEET MANAGEMENT</b>	<p>The management of RDC vehicles. Including, but not limited to: Accidents; allocations / bookings; infringements; and maintenance.</p> <p>Refer to the GDAA</p>		
8	<b>GOVERNMENT RELATIONS</b>	<p>The RDCs relationships and interactions with Ministers, Parliament and the political processes of Government, including Ministerials and Parliamentary Questions, and RDC liaison with bodies conducting formal inquiries or investigations.</p> <p><i>See Community Relations, or Grants and Funding, or Projects and Programs for records of regular ongoing</i></p>		

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No	Function/Activity	Description	Disposal Action	Custody
<i>INDUSTRIAL RELATIONS</i>				
		<p><i>liaison as part of normal business between RDCs and other government or private organizations.</i></p> <p>Refer to the GDAA</p>		
9	<b>INDUSTRIAL RELATIONS</b>	<p>The management of industrial relations matters between the RDC, employers, and unions and associations, etc.</p> <p>Refer to the GDAHR</p>		
10	<b>INFORMATION MANAGEMENT</b>	<p>The management of RDC information resources, including records management, archives, Freedom of Information and intellectual property.</p> <p>Refer to the GDAA</p>		
11	<b>LEGAL SERVICES</b>	<p>The provision of legal services to the RDC, including the provision of legal advice or opinion (internal or external) and handling of legal action or disputes.</p> <p>Refer to the GDAA</p>		
12	<b>OCCUPATIONAL HEALTH AND SAFETY (OH&amp;S)</b>	<p>The implementation and coordination of OH&amp;S and associated legislation throughout the RDC.</p> <p>Refer to the GDAHR</p>		
13	<b>PERSONNEL</b>	<p>The management of employees, and prospective employees, of the RDC.</p> <p>Refer to the GDAHR</p>		

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No	Function/Activity	Description	Disposal Action	Custody
<i>PROPERTY MANAGEMENT</i>				
14	<b>PROPERTY MANAGEMENT</b>	The management of property (land and buildings) owned, leased or rented by the RDC.  Refer to the GDAA		
15	<b>PUBLICATION</b>	The management of the drafting, production and distribution of RDC works (publications) in all media, developed for distribution or sale.  Refer to the GDAA		
16	<b>STAFF DEVELOPMENT</b>	The development of RDC staff skills and competencies.  Refer to the GDAHR		
17	<b>STRATEGIC MANAGEMENT</b>	The broad systematic planning activities of the RDC. Includes strategic plans, operational and business plans, and the broader planning activities associated with the administration of Grants and Funding and Projects and Programs (i.e. planning that is not specific to a particular Grant or Project).  Refer to the GDAA		
18	<b>TECHNOLOGY AND COMMUNICATIONS</b>	The acquisition, management and disposal of RDC information technology and telecommunications systems and services.  Refer to the GDAA		
19	<b>GRANTS AND</b>	RDCs are involved in a range of grant / funding		

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No	Function/Activity	Description	Disposal Action	Custody
<i>GRANTS AND FUNDING - Royalties for Regions - Regional Grants Scheme (RGS)</i>				
	<b>FUNDING</b>	programs, either directly providing and administering grants or working with other organizations to identify, scope and plan regional initiatives or projects to be funded.		
19.1	<b>Royalties for Regions - Regional Grants Scheme (RGS)</b>	<p>The RGS (which began in 2008/2009) is a supporting initiative of the Royalties for Regions Regional Infrastructure and Headworks Fund that aims to improve economic and community infrastructure and services in regional WA.</p> <p>The RGS is made up of <b>strategic reserve grants, contestable grants, and small grants.</b></p> <p>RDC Boards approve applications up to and including \$250,000; Applications up to \$500,000 require RDC Board and Ministerial approval; and, grants over \$500,000 require Cabinet approval. Small grants usually entail funding to a maximum \$10,000.</p> <p>RDCs are responsible for all aspects of the administration of the RGS.</p> <p>In general, successful grant application files contain, but may not be limited to, the following records:</p> <ul style="list-style-type: none"> <li>• Application, or proposed project details or business case documentation;</li> <li>• Assessment Ratings documentation;</li> <li>• RDC Executive and RDC Board recommendations, and Ministerial letter</li> </ul>		



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<i>GRANTS AND FUNDING - Royalties for Regions - Regional Grants Scheme (RGS)</i>				
		<p>approving application (as needs);</p> <ul style="list-style-type: none"> <li>• Grant Agreement;</li> <li>• Correspondence (letters, emails, file notes) between RDC and successful applicant, including variations and request for extension to completion date (as required);</li> <li>• Supplier details, purchase orders; and</li> <li>• Final Grant Acquittal Report and Final Report and sign off, including report to the Minister on the outcomes of approved grants.</li> </ul>		
19.1.1		<p><b>Successful RGS Grants - Strategic Reserve and Contestable - <u>Significant</u></b></p> <p>Significant strategic reserve and contestable grants include grants that:</p> <ul style="list-style-type: none"> <li>• Involve innovative, unique or precedent-setting projects; or</li> <li>• Involve buildings, items or property considered to have cultural heritage significance; or</li> <li>• Involve projects of region-wide or state interest; or</li> <li>• Generated substantial regional debate or controversy; or</li> </ul>	Archive	Retain 5 years after grant acquittal, then Transfer to SRO

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No	Function/Activity	Description	Disposal Action	Custody
<i>GRANTS AND FUNDING - Royalties for Regions - Regional Grants Scheme (RGS)</i>				
		<ul style="list-style-type: none"> <li>• Concern major liabilities or obligations for the RDC; or</li> <li>• Required Cabinet approval.</li> </ul>		
19.1.2		<p><b>Successful RGS Grants - Strategic Reserve and Contestable - <u>Other</u></b></p> <p>Strategic reserve and contestable grants not included in 19.1.1.</p>	Destroy	Retain 10 years after grant acquittal, then Destroy
19.1.3		<p><b>Successful RGS Grants Small</b></p> <p>All successful RGS small grants.</p>	Destroy	Retain 6 years after successful audit following grant acquittal, then Destroy
19.2	<b>Royalties for Regions - Country Local Government Fund (CLGF)</b>	Grants provided by RDCs under the CLGF to regional groups of local governments to identify, scope and plan regional infrastructure priorities.		
19.2.1		<p><b>CLGF - <u>Significant</u></b></p> <p>Grants provided by RDCs under the CLGF where the proposed regional infrastructure projects / priorities:</p> <ul style="list-style-type: none"> <li>• Are innovative, unique or precedent-setting; <b>or</b></li> <li>• Involve buildings, items or property considered to have cultural heritage significance; <b>or</b></li> <li>• Are of region-wide or state interest; <b>or</b></li> </ul>	Archive	Retain 5 years after grant acquittal, then Transfer to the SRO

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No	Function/Activity	Description	Disposal Action	Custody
<i>GRANTS AND FUNDING - Royalties for Regions - Country Local Government Fund (CLGF)</i>				
		<ul style="list-style-type: none"> <li>• Generated substantial regional debate or controversy; <b>or</b></li> <li>• Concerns major liabilities or obligations for the RDC.</li> </ul>		
19.2.2		<p><b>CLGF- <u>Other</u></b></p> <p>Grants provided by RDCs under the CLGF where the proposed regional infrastructure projects / priorities are not included in 19.2.1.</p>	Destroy	Retain 6 years after successful audit following grant acquittal, then Destroy
19.3	<b>Royalties for Regions - Enhancement Program Grants</b>	<p>Grants provided by RDCs under Enhancement Programs to local governments to enhance town centres.</p> <p><i>Refer to Projects and Programs for records of the RDC planning and management of the Enhancement Programs.</i></p>	Destroy	Retain 6 years after successful audit following grant acquittal, then Destroy
19.4	<b>Regional Investment Fund – Regional Development Scheme (RDS)</b>	The predecessor funding scheme to Royalties for Regions funding schemes. The last RDS funding round was in 2008 2009 financial year.		
19.4.1		<p><b>Successful RDS Grants <u>Significant</u></b></p> <p>Significant RDS grants include grants that:</p> <ul style="list-style-type: none"> <li>• Involve innovative, unique or precedent-setting projects; or</li> </ul>	Archive	Retain 5 years after grant acquittal, then Transfer to SRO

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No	Function/Activity	Description	Disposal Action	Custody
<i>GRANTS AND FUNDING - Regional Investment Fund – Regional Development Scheme (RDS)</i>				
		<ul style="list-style-type: none"> <li>• Involve buildings, items or property considered to have cultural heritage significance; or</li> <li>• Involve projects of region-wide or state interest; or</li> <li>• Generated substantial regional debate or controversy; or</li> <li>• Concern major liabilities or obligations for the RDC</li> </ul>		
19.4.2		<p><b>Successful RDS Grants <u>Other</u></b></p> <p>RDS grants not included in 19.4.1.</p>	Destroy	Retain 6 years after successful audit following grant acquittal, then Destroy
19.5	<b>Ministerial / Election Promise Funding</b>	RDC administration of funding provided by Government to project recipients pursuant to Ministerial or Election promises.	Archive	Retain for 5 years after grant acquittal, then transfer to SRO
19.6	<b>Ad Hoc Grants – Small / Minor / Events / Project Support</b>	Infrequent small, minor, events or project support grants (usually less than \$20,000) made available out of RDC operational or discretionary funding.	Destroy	Retain 6 years after successful audit following grant acquittal, then Destroy
19.7	<b>Debtor Files - For all successful RGS, RDS and Small Grants</b>	Refer to the GDAFA		
19.8	<b>Unsuccessful Grant</b>	All unsuccessful grant applications.	Destroy	Retain 2 years after action completed, then

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No	Function/Activity	Description	Disposal Action	Custody
<i>GRANTS AND FUNDING</i>				
	<b>Applications</b>			Destroy.
19.9	<b>RDC Grants / Funding Administration</b>	<p>Records associated with RDC Grants / Funding program development and administration. Records include, but may not be limited to: Information for applicants; application packages; determination of selection criteria; RDC in-house administrative processes, etc.</p> <p><i>Refer to Strategic Management for records of the broad systematic planning activities associated with Grants and Funding.</i></p>	Destroy	Retain 7 years after action completed, then Destroy.
19.10	<b>Agreements and Contracts</b>	<p>Funding Agreements and Contracts between the RDCs and State and Federal government organizations.</p> <p>Refer to the GDAA</p>		
19.11	<b>Guidelines</b>	Prepared and issued by State and federal government organizations for the administration of grant / funding schemes.	Destroy	Retain 2 years after action completed, then Destroy.
19.12	<b>Reporting</b>			
19.12.1		Reports to the Minister, Parliament or Director General of the Department of Regional Development and Lands, or similar bodies, on RDC administration of Grants / Funding schemes.	Required as State archives	Retain 5 years after action completed, then transfer to the SRO.
19.12.2		Reports produced by or for the RDC regarding <u>Significant</u> Grants or Funding, which are:	Required as State archives	Retain 5 years after action completed, then

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No	Function/Activity	Description	Disposal Action	Custody
<i>GRANTS AND FUNDING - Reporting</i>				
		<ul style="list-style-type: none"> <li>• Not held on the relevant Grants / Funding file; or</li> <li>• Not incorporated in RDC Board papers; or</li> <li>• Not reproduced elsewhere (e.g. in the RDC Annual Report).</li> </ul>		transfer to the SRO.
19.12.3		Reports produced by or for the RDC not included in 19.12.1 or 19.12.2. Includes reports regarding <u>Other</u> Grants / Funding.	Destroy	Retain 7 years after action completed, then Destroy.
20	<b>PROJECTS AND PROGRAMS</b>	<p>RDCs are involved in a wide range of projects and programs to achieve their objects and functions throughout their regions. RDCs may be the lead agency in a project or program, or initiate or facilitate them in conjunction with other government or private organizations, or be otherwise involved in projects and programs at different levels in different circumstances. RDCs may support applications for funding by other organizations to conduct a project or program.</p> <p><i>Projects or programs may be undertaken to, but are not limited to:</i></p> <ul style="list-style-type: none"> <li>• <i>Promote the region;</i></li> <li>• <i>maximise regional job creation and improve career opportunities;</i></li> <li>• <i>develop and broaden the region's economic</i></li> </ul>		

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No	Function/Activity	Description	Disposal Action	Custody
<i>PROJECTS AND PROGRAMS - Projects and Programs</i>				
		<p><i>base;</i></p> <ul style="list-style-type: none"> <li>• <i>provide information and advice to promote business development;</i></li> <li>• <i>promote equitable delivery of government services;</i></li> <li>• <i>encourage, promote, facilitate and monitor economic development in the region;</i></li> <li>• <i>identify and encourage investment opportunities in the region;</i></li> <li>• <i>identify the infrastructure needs of the region and encourage the provision of that infrastructure; and</i></li> <li>• <i>facilitate coordination between government agencies in the region.</i></li> </ul>		
20.1	<b>Projects and Programs</b>			
20.1.1		<p><b>Projects and Programs - Significant</b></p> <p>Significant projects include those projects where:</p> <ul style="list-style-type: none"> <li>• The RDC is the lead agency for the project; or</li> <li>• The RDC has had major input into the planning, development and implementation of the</li> </ul>	Archive	Retain 5 years after last action or project acquittal, whichever is later, then Transfer to the SRO

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No	Function/Activity	Description	Disposal Action	Custody
<i>PROJECTS AND PROGRAMS - Projects and Programs</i>				
		<p>project; or</p> <ul style="list-style-type: none"> <li>• The RDC is a principal driver of the project and performs secretariat duties for the board / committee responsible for managing project records; or</li> <li>• The RDC is a driver of the project and administers the funding for the project.</li> </ul> <p><b><u>AND</u></b></p> <ul style="list-style-type: none"> <li>• The project is innovative, unique or precedent-setting; or</li> <li>• The project involves buildings, items or property considered to have cultural heritage significance; or</li> <li>• The project is of region-wide or state interest; or</li> <li>• The project generated substantial regional debate or controversy; or</li> <li>• The project concerns major liabilities or obligations for the RDC.</li> </ul>		
20.1.2		<p><b>Projects and Programs - <u>Other</u></b></p> <p>Projects and programs not included in 20.1.1</p>	Destroy	Retain 7 years after last action or project acquittal, whichever is later, then Destroy



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No	Function/Activity	Description	Disposal Action	Custody
<i>PROJECTS AND PROGRAMS</i>				
20.2	<b>RDC Projects and Programs Administration</b>	<p>Records associated with RDC Projects / Programs program development and administration. Records include, but may not be limited to:</p> <p>Information for applicants; application packages; determination of selection criteria; RDC in-house administrative processes including any additional copies of applications requested by the RDC, etc.</p> <p><i>Refer to Strategic Management for records of the broad systematic planning activities associated with Projects and Programs.</i></p>	Destroy	Retain 7 years after action completed, then Destroy.
20.3	<b>Reporting</b>			
20.3.1		Reports to the Minister, Parliament or Director General of the Department of Regional Development and Lands, or similar bodies on RDC administration of Projects and Programs.	Required as State archives	Retain 5 years after action completed, then transfer to the SRO.
20.3.2		<p>Reports produced by or for the RDC regarding <u>Significant</u> Projects and Programs, which are:</p> <ul style="list-style-type: none"> <li>• Not held on the relevant Project / Program file; or</li> <li>• Not incorporated in RDC Board papers; or</li> <li>• Not reproduced elsewhere (e.g. in the RDC Annual Report).</li> </ul>	Required as State archives	Retain 5 years after action completed, then transfer to the SRO.
20.3.3		Reports produced by or for the RDC not included in	Destroy	Retain 7 years after

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No	Function/Activity	Description	Disposal Action	Custody
<i>SKILLED MIGRATION PROGRAMS</i>				
		20.3.1 or 20.3.2. Includes reports regarding <u>Other</u> Projects and Programs.		action completed, then Destroy.
21	<b>SKILLED MIGRATION PROGRAMS</b>	RDCs may operate as a Regional Certifying Body for migration, attracting skilled migrants and promoting skilled migration options in the region.		
21.1		<b>Visa Applications</b> - Records of visa applications received, processed and forwarded to the Department of Immigration and Citizenship (DIC) for approval. Applies to all types of visa applications including Regional Sponsored Migration Scheme visas and Regional 457 visas. Includes notifications from DIC on outcome of application.	Destroy	Retain 7 years after last action (when outcome notification received from DIC), then Destroy
22	<b>RDC DATABASES</b>			
22.1	<b>Automated Records Management System</b>	Metadata held in RDC automated records management system (e.g. TRIM, Objective, etc.) used to manage paper-based and digital records within the RDC.	Retain	Retain within the RDC for the life of the RDC and successor agencies. Records will be migrated through successive upgrades of hardware and software. Consult the State Records Office should the RDC cease to exist and there is no successor.
22.2	<b>Grants / Funding Database</b>			

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No	Function/Activity	Description	Disposal Action	Custody
<i>RDC DATABASES - Grants / Funding Database</i>				
22.2.1		<p>Contains details of RDC administration of <u>successful</u> applicants to RDC Grants / Funding schemes.</p> <p>Details may be updated, written over or otherwise amended.</p> <p><i>Note: Hard copies of all records relating to the administration of successful grants are held on the relevant Grant File. See section 19.</i></p>	Destroy	Retain 6 years after successful audit following grant acquittal, then Destroy. (Note: RDCs may choose to retain database records for longer for ongoing administrative use)
22.2.2		<p>Contains details about <u>unsuccessful</u> applicants to RDC Grants / Funding schemes.</p> <p>Details may be updated, written over or otherwise amended.</p>	Destroy	Retain 2 years after last action for unsuccessful applicants, then Destroy. (Note: RDCs may choose to retain database records for longer for ongoing administrative use)
22.3	<b>Client Inquiry Management System (CIMS)</b>	<p>CIMS contains contact details with RDC clients and agencies throughout the region. May Include details of visits and notes of meetings held with clients and agencies, including follow up notes.</p> <p>Contact details may be updated, written over or otherwise amended.</p> <p><i>Note: A record of visits and notes (including follow up notes) of meetings held with clients and agencies must be held on the relevant subject / client file.</i></p>	Destroy	Retain 7 years after action completed, then Destroy.

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No	Function/Activity	Description	Disposal Action	Custody
<i>RDC DATABASES</i>				
22.4	<b>Business Capability and Services Directory (BCSD)</b>	BCSD contains details of local businesses across a range of sectors in the region. Businesses submit and update their own details via the RDC web user interface. Details may be updated, written over or otherwise amended.	Destroy	Retain until suspended or until reference ceases, then Destroy
23	<b>RDC WEBSITE</b>			
23.1		Bi annual snapshot of RDC website	Archive within agency	Archive within the RDC and any successors. Consult the State Records Office should the RDC cease to exist and there is no successor.
23.2		Website amendments  Hard copies of web pages before and after changes, and cross referenced in log book. (Major changes will be captured in snapshots).	Destroy	Retain 7 years after website amended, then Destroy
23.3		Website amendments log book  Brief details / descriptions of alterations made to the website	Destroy	Retain 7 years after website discontinued or suspended, then Destroy