



STATE RECORDS OFFICE  
OF WESTERN AUSTRALIA

# STATE RECORDS OFFICE OF WA RECORDKEEPING PLAN 2007

State Records Office of Western Australia  
Perth, Western Australia  
July 2007

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## Introduction

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This document is presented to the State Records Commission in accordance with 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 Recordkeeping Plan and a review of it.

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 recordkeeping principles each of which contains minimum compliance requirements.

The purpose of a government organisation's Recordkeeping Plan is to set out the matters about which records are to be created by the organisation and how it is to keep its records. The Recordkeeping Plan is to provide an accurate reflection of the recordkeeping program within the organisation, including information regarding the organisation's recordkeeping 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 recordkeeping within the organisation. In accordance with Section 17 of the Act, the State Records Office and all its employees are legally required to comply with the contents of this plan.

The plan relates to the corporate and business records of the State Records Office. The management of archival records in the State archives collection is addressed in the State Records Office's Archive Keeping Plan.

This Recordkeeping Plan applies to all :

- State Records Office employees;
- State Records Office contractors; and
- Organisations performing outsourced services on behalf of the State Records Office.

This Recordkeeping Plan applies to all records created or received by any of the above parties, regardless of:

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

# 1 Principle One: Proper and Adequate Records

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Government organisations are to 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.

## 1.1 Background

The State Records Office (SRO) had its origins in 1945 with the establishment of an archives branch within the Perth Public Library. In 1956 the Branch became part of the J S Batty Library of West Australian History, a division of the Library Board of Western Australia. For 30 years thereafter (ie until the end of 1988) the Principal Librarian Batty Library held the position of State Archivist.

An amendment to the *Library Board Act* in 1974 made the Board responsible for authorising the disposal of government records and managing those government records identified as archives. The shortcomings of this legislation were made apparent when in 1992 the Royal Commission into WA Inc called for the establishment of a 'separate and independent archival authority – acting under its own legislation'. In July 1994 the Minister for Culture and the Arts released a discussion paper which mooted the drafting of a Public Records Bill and the establishment of an independent Commission. This document provided a broad framework for the *State Records Act 2000* and the *State Records (Consequential Provisions) Act 2000*.

Until November 2001 the SRO administered the recordkeeping provisions of Sections 22 to 33 of the *Library Board of Western Australia Act 1951 – 1983*. The SRO facilitated the process whereby State and local government agencies obtained approval from the Board to destroy or archive their records. When the two State Records Acts were proclaimed in full on 28 November 2001 the recordkeeping provisions of the *Library Board Act* were repealed and the SRO severed its legal ties with the Library Board of Western Australia.

The offices of Director and State Records Office are established under part 9 of the *State Records Act 2000* (the Act). The Director of State Records reports to the State Records Commission on all matters relating to the operation of the Act. Since 1 July 2001 the Director of State Records has, for administrative purposes, reported directly to the Director General, Department of Culture and the Arts.

## 1.2 Vision Statement

“Enabling the Government and the people of Western Australia to have access to records that capture the State's history, maintain open and accountable government, and enrich community well-being.”

## 1.3 Mission Statement

“Leading in the creation and preservation of, and access to, Government records.”

## 1.4 Director's Functions

Part 9 of the Act establishes '*...an office in the Public Service called the Director of State Records...*' and states that the '*...entity consisting of the Director (and staff) is to be called the State Records Office*'.

Part 9, Section 73 (1) defines the functions of the Director of State Records as follows:–

- (a) to advise government organisations on record keeping and on training their staff in recordkeeping and to assist in such matters;
- (b) to advise government organisations on the preparation of and compliance with record keeping plans;
- (c) as to those State archives in the State archives collection to which there is unrestricted access, to provide:
  - (i) an information service about them;
  - (ii) public access to them; and
  - (iii) appropriate facilities and services to enable them to be effectively used for administrative requirements and for study and research;
- (d) to create and maintain a register of all State archives, including those that are not in the State archives collection;
- (e) to provide such advice and assistance to the Commission as the Commission requests; and
- (f) to report to the Commission about:
  - (i) the operation and effectiveness of this Act; and
  - (ii) any breach or suspected breach of this Act by any person or State organisation.

In addition to the above functions the Director has control of all records that are in the State archives collection. Part 7 of the Act authorises the Director to act for the Crown in pursuing recovery of out of custody government records.

## 1.5 Business Activity

For operational purposes the SRO is divided into two teams; **Recordkeeping Services** and **Archival Services**. The Team Leaders of each team report direct to the Director of State Records.

The **Recordkeeping Services Team** is responsible for:

- facilitating efficient and effective records management systems in State and local government agencies;
- developing policies, standards and manuals on records and archival systems;
- providing consultancy services to agencies; and
- developing and delivering training programs in records management, archival appraisal, and retention and disposal scheduling.

The **Archival Services Team** is responsible for:

- the management of the State archives collection, including responsibility for the storage, preservation, and documentation of those records transferred to the custody of the SRO;
- providing access to the State archives collection for public and government clients of the SRO;
- the creation and maintenance of a register of State archives; and

- the management of temporary government records kept on a fee for storage basis at the SRO; and
- maintenance of the SRO website.

## **1.6 Accommodation**

The SRO staff offices and public areas are situated in secure premises on the mezzanine and ground floors of the Alexander Library Building. The State archives collection is accommodated in secure storage, shared with the State Library of Western Australia on the 3<sup>rd</sup> and 4<sup>th</sup> floors of this building. State archives are also stored in a repository managed by the SRO at 17 Harold St, Dianella. The temporary government records referred to above are also stored at the Dianella repository.

## **1.7 Archive Keeping Plan**

The State archives collection is described in Part 5 of the *State Records Act 2000*. The Director is required under Section 40 of the Act, to report to the Commission on the management of the records in this collection in a separate document, called the Archive Keeping Plan. The Archive Keeping Plan will be addressed in a separate Plan.

## **1.8 Outsourced Functions**

The following functions are managed on behalf of the SRO by the Department of Culture and the Arts:

- Human Resources; and
- Financial services

These functions will be rolled in to the Office of Shared Services during 2007.

Prior to the administrative separation of the State Records Office from the Library and Information Service of Western Australia (LISWA) as of 1 July 2002, the Director of State Records and the State Librarian jointly agreed that the provision of certain services to the SRO by corporate branches of State Library of Western Australia (formerly LISWA) would continue beyond the separation date.

The following activities are currently performed by the State Library of Western Australia on behalf of the SRO:

- Building security and maintenance service (including environmental controls) at the Alexander Library Building (ALB) and the Dianella Records Repository;
- Microfilming & conservation - Preservation Services;
- Internal Record Keeping Services - Corporate Information Unit (CIU); and
- Information Systems maintenance - The Department of Culture and the Arts Information Systems section.

## **1.9 Stakeholders**

Stakeholders consist of;

- The State Records Commission;
- The Department of Culture and the Arts (DCA);
- The State Library of Western Australia (SLWA);

- Government organisations as identified by Schedules 1 and 3 of the *State Records Act 2000*;
- Professional associations which promote recordkeeping best practice;
- Organisations representing researcher clients;
- Commonwealth, State and Territory archival institutions; and
- Western Australian community.

### **1.10 Enabling Legislation**

The State Records Office is established and functions in accordance with the *State Records Act 2000*.

### **1.11 Other Legislation**

Other legislation has a significant impact on the management of the State Records Office. The principal legislation addressed in the formulation of this Recordkeeping Plan include:

- *State Records (Consequential Provisions) Act 2000*
- *Criminal Code Compilation Act 1913*
- *Evidence Act 1906*
- *Financial Management Act 2006*
- *Freedom of Information Act 1992*
- *Interpretation Act 1984*
- *Public Sector Management Act 1994*

### **1.12 Major Government Policy and/or Industry Standards**

- State Records Commission: Principles and Standards
- Australian Standard on Records Management: AS ISO 15489

## **2 Principle Two :POLICIES & PROCEDURES**

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

### **2.1 Creation, Capture and Control of Records**

The SRO has outsourced the management of its file based records to The State Library of Western Australia's (SLWA's) Corporate Information Unit (CIU).

The SRO Recordkeeping Policy and Procedure (see attachment 2) [Not attached] covers:

- Correspondence Capture and Control;
- Mail Management;
- Filing;
- File Management;
- File Access and Security;
- Electronic Records;
- Email Management;
- Website management;
- Metadata Management
- Systems Management; and
- Disposal.

### **2.2 Website Management**

The SRO website resides on a DCA network server and is maintained in-house by the Archival Services Team. Website backup procedures are described under Principle Four: Preservation.

All updates to the website are published by an authorised webmaster. The update and editing permissions are defined using web management software. Previous versions of web pages are saved and the website can be rolled back to up to 99 versions of each web page if required.

A snapshot of the website is saved in PDF format every three months. These snapshots are stored on CD, with a backup stored separately from the original or master copy.

The DCA is redeveloping their website and will be installing new server equipment and web content management software. The SRO, as a DCA agency, are planning to take up an option to also redevelop their website and utilising the website technology chosen by DCA. The content management software will maintain a record of all changes to the website and enable the website to be "turned back" to a specific date to display the entire website content as it was at that time. It is expected that the DCA project will be completed by the end of 2007 and it is envisaged that the SRO project will commence in 2008.

### **2.3 Systems Management**

Networked databases, networked and personal drives and email are preserved as part of backup procedures established by DCA's Information Systems section. The network servers are located in a secure room under Information Systems control on the 3<sup>rd</sup> floor of the ALB. Access to the server room is by authorised personnel only. The server room is secured by swipe card technology.

User accounts for network access are established by DCA Information Systems section on submission of account creation forms, detailing groups and access required, by the responsible line manager.

The SRO business system is BOS. BOS is the Archives management system used since 2004 to document and manage the State archives collection and its use. AEON is a web based interface that allows public access to certain information stored in the BOS system. These databases are housed on DCA network servers in the ALB server room. Access to BOS is established by the authorised administrator within the SRO who defines the level of access permitted to the user. Backups are performed in accordance with established DCA backup procedures (see 4.3.2).

### **2.4 Metadata Management**

Files and document records created in the TRIM records management system are titled using a standard format and controlled vocabulary (eg thesaurus terms for file titling). Records entry screens ensure that consistent metadata is captured for each record type. When creating electronic documents using Microsoft office suite of applications, staff enter information, including a description of the document content and author's name on the "Properties" screen.

### **2.5 Migration Strategy**

The DCA have a Hardware Systems Refresh Framework checklist to ensure conversion of data when applications on networked systems are migrated to new versions of hardware or software. In the event of SRO updating its business systems to a new version of existing software or converting to a new business management system, the SRO will liaise with the DCA Information Systems section to ensure that all data is successfully migrated to allow access to the data for the required period of time.

### **3 Principle Three: LANGUAGE CONTROL**

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

#### **3.1 Keyword AAA Thesaurus Implemented**

Language control for titling of SRO records is achieved by using the Corporate Thesaurus devised for SLWA and the SRO by the CIU. This thesaurus follows the principles of Keyword AAA for SRO administrative and functional records.

Functional Keywords incorporated in the Thesaurus include:

- Archival Services
- Commission Management
- Government Recordkeeping Services
- Recordkeeping Planning

(See Attachment B for sample pages of functional Keywords) [Not attached]

#### **3.2 Assessment of its Effectiveness**

The merged thesaurus operates well within the SRO. It covers both administrative and functional activities of the SRO, is available for use by all staff and information can be filed and found without difficulty. Should this tool require adjustment to reflect changes to the functions and activities of the SRO as may occur from time to time, the SRO will consult with the SLWA CIU in order to facilitate those adjustments

## 4 Principle Four: PRESERVATION

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

A '*Policy on the Preservation of State Records*' is published on the State Records Office website.

### 4.1 Assessment of the Risks

#### 4.1.1 On Site

The SRO has its current and active records located in onsite storage on the ground and mezzanine floors of the ALB. Records created by the SRO as a Directorate of LISWA (now SLWA), prior to 1 January 2002, are located in CIU on level 2 of the ALB. The storage facility includes:

- Metal shelving;
- Metal compactus;
- Secure premises;
- Fire detection system; and
- Airconditioning for a minimum of nine hours per day.

The main disaster threatening records stored onsite comes from fire smoke or water damage.

#### 4.1.2 Off Site

The SRO does not store any records in a commercial off site storage facility.

Refer to the Archives Keeping Plan for Risk and Disaster planning in relation to State archives and records stored on behalf of other government agencies held in the ALB and at the SRO records repository, 17 Harold St, Dianella.

#### 4.1.3 Storage of Backups

The DCA Information Systems section manages the backup of all systems housed on the DCA network. Systems are backed up on to tape daily. The tapes for ALB servers are taken offsite daily and stored at the Law Chambers Building and vice versa. Backup tapes older than 12 months are boxed and sent to a commercial offsite facility for storage.

#### 4.1.4 Quantity of Records

The SRO has custody of approximately:  
35 metres of temporary records stored onsite; and  
40 metres of archives stored onsite.

#### 4.1.5 Security and Access

TRIM users are assigned a security level and appropriate access as required by their employment position. Access to TRIM is established by CIU on receipt of notification from the user's Manager. Files are assigned an appropriate security level when created in TRIM. Records relating to SRO business are created using particular record types which are only accessible in TRIM by SRO staff.

Confidential files are kept in appropriately secure locations by the person responsible for the file.

The ALB is a secure premises requiring keycard access to non-public areas.

With the storage, security and access conditions as described here the risk is assessed as low.

## **4.2 Assessment of the Impact of Disasters**

The SRO is responsible for preserving its State records for as long as they are required. A major threat to the preservation of records is the risk of disaster, natural or otherwise.

The DCA is currently developing a Business Continuity Plan for the Department in collaboration with all of the portfolio agencies, including the SRO. In addition the SLWA is reviewing its Disaster Plan, which has not been revised since its release in early 1993, in consultation with other agencies including the SRO. This document primarily covers disaster recovery procedures for archival and library collections accommodated within the ALB. The areas on the mezzanine and ground floors currently used by the SRO are covered by the Disaster Plan in the event of an incident affecting the building, however, records housed in this area are not part of the CIU's Records Disaster Prevention and Recovery Plan which only covers those SRO records held by CIU on level 2.

The SRO will develop a Records Disaster Prevention and Recovery Plan for all SRO and SRC records held on the mezzanine level and ground floor of the ALB.

## **4.3 Strategies for Prevention and Response**

### **4.3.1 Vital records**

Vital records are those records essential to the continued functioning or reconstitution of an organisation during and after an emergency and also those records essential to protecting the legal and financial rights of that organisation.

Refer to Appendix 1 [Not attached] for a draft list of vital records including strategies for protection and recovery of records. The final Vital records register will be incorporated in the Records Disaster Prevention and Recovery Plan

### **4.3.2 Backup Procedures for Electronic Records**

Networked databases, networked and personal drives and email are preserved as part of backup procedures established by DCA's Information Systems section. A differential backup is performed daily, Monday to Thursday. This will capture any changes to systems that have been made that day. A complete backup of all networked systems is performed every Friday. The backup tapes for the 1<sup>st</sup> Friday of each month are retained permanently.

Backup tapes are taken offsite and exchanged daily. Backup tapes are tested using system restore requests. Tapes are recycled over a 4-5 cycle and therefore are kept for up to 4 weeks. The tapes are rotated through a prescribed number of uses before being discarded.

The BOS business system is an SQL database which is operated from servers controlled by DCA Information Systems section. AEON is the public web based interface of BOS. The database is backed up according to the backup schedule detailed above. The database servers are located in a secure room on the 3<sup>rd</sup> floor of the ALB under DCA Information Systems section control.

The SRO website resides on a DCA network server and is maintained in-house by the Archival Services Team. The website is backed up as part of the daily/weekly networked systems backup procedures described above.

### **4.3.3 Security**

Strategies for security for prevention and recovery of hard copy and electronic records include storage facilities for files and access to the TRIM recordkeeping system and the ALB premises as described above.

### **4.3.4 Storage Review**

Storage facilities for SRO records are monitored on an ongoing basis. Additional metal cupboards for storage of records are purchased on an as needs basis.

### **4.3.5 Recovery of Lost Information**

SLWA's Preservation Services provides a Disaster Recover Bin to the SRO to assist in the recovery of hard copy records in the event of a disaster. The bin is numbered and located at a numbered station (on the ground floor in the SRO Search Room) to be accessed in the event of a disaster. Refer to Appendix 2 for a list of bin contents.

Electronic records will be recoverable from backup tapes with minimal disruption to operations.

## **4.4 Identified Areas for Improvement**

Interim measures have been put in place for the protection of vital records that exist only in hard copy, whereby those records are photocopied and the copies stored in a box on level 4 of the ALB.

By February 2008:

- Development and approval of a Records Disaster Prevention and Recovery Plan for all SRO and SRC records.

By June 2008:

- Implementation of a digitisation program for the protection of SRC and SRO vital records that exist only in hard copy

## **5 Principle Five: RETENTION & DISPOSAL SCHEDULE**

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

### **5.1 Retention and Disposal Schedule**

The revised SRO Retention and Disposal Schedule, RD 2007021, to supersede RD 2005005, is attached as part of this Plan (see Attachment C). The SRO will negotiate with SLWA to implement the revised retention and disposal schedule after it has been approved by the SRC.

### **5.2 Restricted Access Archives**

The SRO has not identified any Archival records to which access will be restricted.

### **5.3 Disposal Program Implemented**

Records will be disposed of in accordance with an approved retention and disposal authority including:

- General Disposal Authority for Human Resource Management Records;
- General Disposal Authority for Financial and Accounting Records;
- General Disposal Authority for Administrative Records;
- Retention and Disposal Authority for Functional Records of the State Records Office; or
- Retention and Disposal Authority for Functional Records of the State Records Commission.

A list of SRO records due for destruction or transfer to the State archives collection is compiled annually. Before any SRO records are destroyed or transferred to the State archives collection, the list is reviewed by the relevant manager and Director of State Records and authorised for destruction or transfer.

A record of destroyed records is retained. The record metadata is retained in TRIM showing the disposition of the record as "Destroyed". The record of the authorisation to dispose of records is kept on an official file.

### **5.4 Authorised Disposal of Records**

A report of records identified as having surpassed their minimum retention period will be generated annually and forwarded to the responsible manager for review and authorisation. Final approval for disposal of SRO records will be obtained from the Director of State Records prior to disposal of the records.

### **5.5 Identified Areas for Improvement**

By February 2008:

- Implementation of RD 2007021 and RD 2007020 by SLWA CIU section after approval by the SRC.

By June 2008:

- Implementation of the records disposal program.

## **Principle Six: COMPLIANCE**

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Government organisations are to ensure their employees comply with the recordkeeping plan.

### **6.1 Staff Training/Information Sessions**

All employees of the SRO are given the opportunity to participate in courses presented to agency clients on records management.

### **6.2 Induction Programs**

All new SRO employees attend a full day induction program which is run by the Department of Culture and the Arts. The induction program includes an information session, presented by an SRO employee, outlining staff responsibilities with regard to recordkeeping compliance in accordance with the *State Records Act 2000*.

Topic covered include:

- Legislative requirements
- Who is responsible?
- Why is records management necessary?
- What is a government record?
- Ephemeral records
- Archival records

### **6.3 Performance Indicators**

The SLWA CIU, which provides the SRO's outsourced records management function, has developed performance indicators to measure:

- Information retrieval;
- Records management;
- Mail management; and
- Training.

### **6.4 Evaluation of Efficiency and Effectiveness of Recordkeeping Systems**

The SLWA CIU conducted a Client Satisfaction Survey in 2003.

### **6.5 Recordkeeping Compliance in Annual Reports**

The following excerpt is taken from the Department of Culture and the Arts 2005 – 2006 Annual Report:

The State Records Office's (SRO) Recordkeeping Plan was approved by the State Records Commission on 1 July 2002 and will be reviewed before 1 July 2007.

Most of the SRO records management functions have been outsourced to the State Library of Western Australia's Corporate Information Unit. The records are managed in accordance with the SRO's

Recordkeeping Plan. To meet the compliance requirements of Principle 6 of the State Records Commission Standard 2:

- induction, including recordkeeping responsibilities, is conducted as new staff are appointed
- recordkeeping training is conducted as systems and practices change
- training requirements are reviewed periodically until a formal and more regular review can be implemented. It is aimed to carry this out before 1 July 2007.

## **6 SRC Standard 6: Outsourcing**

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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 recordkeeping 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.

### **7.1 Outsourced Functions Identified**

See 1.8 above.

Functions currently outsourced by the SRO are not subject to formal contractual arrangements. Should the SRO enter into formal contracts for functions outsourced to other organisations, the relevant clauses contained in the Department of Treasury and Finance General Conditions of Contract that relate to recordkeeping (ie 8.3 and 9.1) will be incorporated into those contracts.

### **7.2 Recordkeeping Issues Included in Contracts**

#### **7.2.1 Planning**

The State Records Office will include 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.

#### **7.2.2 Ownership**

The State Records Office will ensure that the ownership of State records is addressed and resolved during outsourcing exercises. Where possible this will be included in the signed contract/agreement.

#### **7.2.3 Control**

The State Records Office will ensure that the contractor creates and controls records in electronic or hard copy format, in accordance with recordkeeping standards, policies, procedures and guidelines stipulated by the State Records Office.

#### **7.2.4 Disposal**

The disposal of all State records which are the product of or are involved in any contract/agreement with the State Records Office and a contractor/agent

will be disposed of in accordance with the State Records Office's approved Retention and Disposal Schedule or the General Disposal Authorities published by the SRO.

#### **7.2.5 Access**

Conditions for the provision of access to any State records produced in the course of the contract/agreement will be agreed between the State Records Office and the contractor(s)/agent(s).

#### **7.2.6 Custody**

Custody arrangements between the State Records Office and the contractor(s)/agent(s) for State records stored on and off site by the contractor will be specified in the contract.

#### **7.2.7 Contract Completion**

All arrangements regarding record custody, ownership, disposal and transfer upon the completion of the contract(s)/agreement(s) will be specified in the contract(s)/agreement(s).

**Appendix 1 - Vital Records Register – Not Attached**

## Appendix 2 - Disaster Recovery Bin contents:

Quantity	Material	Use
1	76 litre wheelie bin	Catching water and transporting material
1	20 litre plastic rubbish bin	Catching water
2	Buckets	Catching water, cleaning up
20	Black garbage bags	Carry material, cleaning up
3 pairs	Rubber gloves	Health and Safety
4	Tyvek lab coats	Health and safety, protecting clothing
1	Clipboard, notepad and pencil	Recording movement of collection etc
1	Marker pen	Marking transport boxes
3	4m x 6m clear plastic sheeting	Covering shelves etc
2 rolls	Packing tape	Adhering plastic sheeting
2	Scissors	Cutting plastic, tape etc
1	Utility knife and blades	Cutting plastic, tape etc
3	Sponges	Cleaning up
5	Chux wipes	Cleaning up
1	Squeeze mop	Cleaning up
1	Soot sponge	Cleaning up soot and dust
1	Torch with battery	Examination of material
1 pack	Disposable gloves	Health and safety
80	Small freezer bags	Rehousing material so it can be frozen
80	Large freezer bags	Rehousing material so it can be frozen
5	Dust masks	Health and safety
1	Disaster Prevention and Recovery Plan (SLWA)	Contact numbers, salvage instructions

# **Attachment A – Not Attached**

## **State Records Office of WA Recordkeeping Policy and Procedures Manual**

# **Attachment B – Not Attached**

## **Sample pages of functional Keywords**

# **Attachment C**

## **Retention and Disposal Schedule RD 2007021**

**State Records Office of Western Australia**

**Retention and Disposal Schedule for Functional Records**

**November 2007**

**RD 2007021**

Version 1.1

**State Records Office of Western Australia  
Retention and Disposal Schedule for Functional Records**

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## **State Records Office of Western Australia Retention and Disposal Schedule for Functional Records**

About This Document  
**Background**

**The State Records Office of Western Australia (SRO) was established on 1 July 2001.**

The SRO is responsible for advising and assisting public officers in matters of best practice recordkeeping, including creation, maintenance, security and disposition of State records. In addition, it is responsible for housing and maintaining the State archives collection, and providing access to the collection by means of reference and loans services.

The *State Records Act 2000* (the Act) was fully proclaimed in November 2001. Prior to proclamation, the SRO was a Directorate of the Library and Information Service of Western Australia, now the State Library of Western Australia (SLWA), enabled by the *Library Board of Western Australia Act 1951-1983* and reporting to the Library Board. Since 1 July 2001 the Director of State Records has, for administrative purposes, reported directly to the Director General, Department of Culture and the Arts (DCA).

In accordance with Part 8 of the Act, the State Records Commission was established in order to monitor the operation of and compliance with the Act. The SRO (under the Director of State Records) reports to, and provides assistance to the Commission as required.

### **Purpose of the Schedule**

This Retention and Disposal Schedule (the Schedule) provides a management tool for the retention and disposal of functional records created by the SRO and ensures compliance with legal obligations. This Schedule has been created to form part of the Recordkeeping Plan of the SRO, as required under section 16(3)(a-c) of the *State Records Act 2000*.

The aims of the Schedule are to:

- Identify records which are worth preserving permanently as State archives and which will be transferred to the State archives collection 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 that are not State archives.

### **Scope of the Schedule**

This Schedule covers the functional records of the SRO.

## **State Records Office of Western Australia Retention and Disposal Schedule for Functional Records**

This Schedule supersedes RD 2002005, approved by the State Records Commission on 1 July 2002.

Records already sentenced under previously approved Schedules which are still in the custody of the SRO will be re-sentenced in accordance with this Schedule.

The schedule applies to records in all formats. (See 3.1 Formats)

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

### **Revision of the Schedule**

Authorised employees of the SRO will review the structure and use of this Schedule not less than every five years. The revised Schedule will be submitted to the State Records Commission for approval prior to its implementation.

### **Recordkeeping Environment**

#### **Legislation**

Other relevant legislation and regulations relating to the management of the SRO's records include, but are not limited to:

*State Records (Consequential Provisions) Act 2000*

*Criminal Code Act 1913*

*Electronic Transaction Act 2003*

*Evidence Act 1906*

*Financial Management Act 2006*

*Freedom of Information Act 1992*

*Limitation Act 1935*

*Public Sector Management Act 1994*

## **State Records Office of Western Australia Retention and Disposal Schedule for Functional Records**

### **General Disposal Authorities (GDAs)**

The following GDAs produced by the SRO will be used for 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).

### **Freedom of Information**

The *Freedom of Information Act 1992* prescribes rights and procedures for access to documents held by Government organisations. If a request for access under the 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.

### **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 subsequent actions are completed.

### **Publications Produced by the Organisation**

Premier's Circular No. 17/2003, *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 SRO 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 Premier's Circular 17/2003.

## State Records Office of Western Australia Retention and Disposal Schedule for Functional Records

### Organisation's Records Formats

#### Electronic Records

Electronic records are subject to the provisions of this Schedule in the same way as hard copy records. Where they are not printed and attached to a hard copy file they will be managed in electronic form for as long as they are required. 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 8, *Policy for the Ongoing Management of Electronic Records Designated as Having Archival Value*.

#### Databases

The following major corporate databases and information systems are held by the SRO. Refer to Part C for retention periods for databases.

**Agency Database** - "Access" database containing information on government agencies as well as private organizations and individuals who have used SRO recordkeeping services. This data is used to generate queries and reports, such as training attendees lists and mailing lists.

**BOS – Business Operations System** - Archives management system used since 2004 to document and manage the State archives collection and its use.

**Intermediate Records Repository Database** – Excel spreadsheet Indicates records stored for each agency, account details, dates for review or withdrawal of holdings.

**Loans Database** – Excel spreadsheet indicating archives loaned to agencies since 1990. Details include files loaned and date due, financial details used to generate invoices for loans fees, overdue charges and late return fees.

**Researchers Database** - Lotus database used until 2006 containing researchers' registration and contact details – duplicates information contained on researchers' registration forms. Researcher information is now entered and maintained on BOS.

**SRS Database** - Accession and consignment information – migrated to BOS in 2004.

## **State Records Office of Western Australia Retention and Disposal Schedule for Functional Records**

### **Websites**

The SRO website, incorporating the website of the State Records Commission, contains informational material only. The website resides on a DCA network server and is maintained in-house by the SRO Archival Services Team. All updates to the website are published by an authorised webmaster. The update and editing permissions are defined using web management software. Previous versions of web pages are saved and the website can be rolled back to up to 99 versions of each web page if required.

A procedure for a snapshot of the website to be captured on CD twice yearly will be established in cooperation with the DCA Information Services section. Snapshots will be stored on CD, with a backup to be stored separately from the original or master copy. Snapshots will be migrated across any changes in hardware, software or media to ensure ongoing access. Content changes occurring between snapshots are captured by the web management software.

Electronic records held on the SRO's website will be managed in accordance with the *Guidelines for the Management for Web Information*, currently maintained by the Office of e-Government, and State Records Office Policy 8, *Policy for the Ongoing Management of Electronic Records Designated as Having Archival Value*.

Refer to Part C for retention periods for the SRO website and related records.

### **Photographs and Audiovisual Records**

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.

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

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.

**State Records Office of Western Australia**  
**Retention and Disposal Schedule for Functional Records**

**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 the SRO's 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.

**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)

The SRO does not have any State archives that will require restrictions on access.

**Archives Not Transferred to the State Archives Collection**

The SRO does not have any State archives that will not be transferred to the State archives collection.

**Records Relating to Aboriginal People  
Premier's Circular No. 2002/03**

The Premier's Circular No. 2002/03 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”*

The SRO does not hold any records that fall within the scope of this policy.

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

The SRO does not hold any records that fall under section 76 of the *State Records Act 2000*. Should this situation change the SRO will consult the State Records Commission.

**Reproduction of Records**

The SRO does not reproduce hard copy source records in electronic format, except where scans of records are taken for circulation or reference purposes. Such scans are regarded as duplicates and may be destroyed when they are no longer required for reference purposes.

## **State Records Office of Western Australia Retention and Disposal Schedule for Functional Records**

### **Organisation's Recordkeeping Practices**

#### **Responsibility for Disposal of State Records**

Before any records are destroyed or transferred to the State Records Office they will be reviewed by the Director of State Records and authorised for destruction or transfer. A record of destroyed records and certificates of destruction will be retained.

### **Significance of Records**

This Schedule uses the term "significant" in the description of record categories, usually to separate State archives from records that may be destroyed.

For example, significant records may be considered to be those that:

- affect the whole-of-government or portfolio function; or
- concern or affect Corporate Executive activity; or
- concern major liabilities or obligations of the organisation and/or the State; or
- relate to the development of legislation, regulations, or policy; or
- otherwise (significantly) impact or affect the organisation's functions or structure eg proposed changes to organisational functions; or
- were precedent setting; or
- involved substantial public debate or controversy; or
- generated wide community interest; or
- caused major changes to organisation policy; or
- involved items or property considered to have cultural heritage significance.

These significant records are regarded as having archival value.

Further, the value of records may change over time. In assessing records that have reached their minimum retention period and are due for destruction, the SRO will consider those that may have potential business or historical value, for possible further retention or archiving.

### **Recommended Methods of Destruction**

When State records are due for destruction it must be done completely so that no information is retrievable.

## **State Records Office of Western Australia Retention and Disposal Schedule for Functional Records**

Hard copy (paper) records are to be destroyed by shredding, pulping or trommelling. Burning or burying of State records are not acceptable methods of destruction.

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

If records are stored on microform 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.

### **Arrangement and Definitions of Terms used in the Schedule**

This Schedule has been arranged in three parts:

Part A covers Administrative and Functional Keywords;  
Part B covers Common Activities; and  
Part C covers Database and Website records.

Part A is arranged alphabetically by keyword with activity descriptors arranged alphabetically under each keyword.

### **DEFINITIONS**

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

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

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

## State Records Office of Western Australia Retention and Disposal Schedule for Functional Records

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

**Disposal Action** – the final disposition will be Archive (A), Destroy (D), or Archive Within SRO.

**Disposal Trigger** - includes “after last action”, which refers to the last date that a matter was noted on the records. Other disposal triggers include “when superseded” and “after expiry of contract”.

**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 archives collection for permanent retention as State archives. Includes the action or trigger that begins the retention period.

**Ref No** – the reference number within the Schedule.

**Retain within SRO** – a record category which has been identified as not having archival value, but will be retained within the SRO for the life of the organisation. In the case of the SRO ceasing to exist and no successor agency identified, the State Records Commission will be consulted.

**State Records Office of Western Australia  
Retention and Disposal Schedule for Functional Records**

Ref No	Description of Records	Disposal Action A – Archive D – Destroy R – Retain	Recommended Custody	Comparison to previously approved RD 2002005
<b>PART A</b>	<b>ADMINISTRATIVE AND FUNCTIONAL KEYWORDS</b>			
<b>1</b>	<b>ARCHIVAL SERVICES</b> Activities associated with maintenance and use of the State archives collection, including appraisal, transfers, storage, documentation, estrays management, loans and charging.			
<b>1.1</b>	<b>Access</b> Activities enabling access to the State archives collection, including finding aids.			
<b>1.1.1</b>	Cabinet Records release - Annual release for public viewing of Cabinet records that have reached 30 years of age	A	5 years after last action	New entry
<b>1.1.2</b>	Copyright permissions - Requests to reproduce records in the State archives collection	D	7 years after last action	New entry
<b>1.1.3</b>	Finding aids and indexes produced by SRO or where SRO has substantial input, eg AEON - development	A	5 years after last action	New entry
<b>1.1.4</b>	Ministerial records – requests for access	D	7 years after last action	New entry
<b>1.1.5</b>	Permission to copy / view – photographic purchase orders	D	7 years after last action	3.4
<b>1.1.6</b>	Projects to provide access to archives and other records. Includes digital surrogate projects and access to external resources.			
<b>1.1.6.1</b>	Projects - precedent setting, involving substantial public debate or controversy, or of wide community interest	A	5 years after last action	New entry
<b>1.1.6.2</b>	Projects - other	D	7 years after last action	New entry
<b>1.1.7</b>	Restricted access arrangements for material held in the State archives collection	A	5 years after last action	New entry

**State Records Office of Western Australia  
Retention and Disposal Schedule for Functional Records**

Ref No	Description of Records	Disposal Action A – Archive D – Destroy R – Retain	Recommended Custody	Comparison to previously approved RD 2002005
<b>1.1.8</b>	<b>Access - Government Loans records</b> Records relating to government agencies' access to their own records (or those created by their predecessors) that are part of the State archives collection. Includes records of loans to government organisations.			
<b>1.1.8.1</b>	Call Slips – government loans: File copy (white)	D	1 year after item returned to SRO	1.1
<b>1.1.8.2</b>	Call Slips – government loans: Stack copy (green)	D	After file copy marked returned	1.2
<b>1.1.8.3</b>	Call Slips – government loans: Item copy (white)	D	After item returned to location	1.3
<b>1.1.8.4</b>	Loan requests (received from agencies, by fax or telephone)	D	1 month after last action	1.4
<b>1.1.8.5</b>	Agencies' letters of authority to collect items	D	1 year after last action	1.5
<b>1.1.8.6</b>	Overdue notices	D	1 year after item returned	1.6
<b>1.1.8.7</b>	Returned items - returns register	D	7 years after last action	1.7
<b>1.1.9</b>	<b>Access – Researchers records</b> Access to the State archives collection for members of the public ("researchers"). Includes archives retrieved for researchers from the SRO's archival storage facilities, and researchers' access to restricted records.			
<b>1.1.9.1</b>	Call Slips – researchers: File copy (blue)	D	1 month after last action	2.1 (previously D/3 months)
<b>1.1.9.2</b>	Call Slips – researchers: Stack copy (pink)	D	6 months after last action	2.2 (previously D/1 year)
<b>1.1.9.3</b>	Call Slips – researchers: Item copy (yellow)	D	After item returned to location	2.3

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Retention and Disposal Schedule for Functional Records**

Ref No	Description of Records	Disposal Action A – Archive D – Destroy R – Retain	Recommended Custody	Comparison to previously approved RD 2002005
1.1.9.4	Authority for members of the public to view restricted records (duplicates; custodial agency retains original authority)	D	7 years after last action	2.4
1.1.9.5	Restricted records (original access application form completed by researcher)	D	After permission granted or denied by agency	2.5
1.1.9.6	Application for registration as a researcher (includes signature showing acknowledgement of certain conditions of use of the State archives collection)	D	10 years after last action	2.6 (previously D/3 years)
1.1.9.7	Researchers register (books duplicating researcher application details; maintained until June 2006. After June 2006 these details are maintained on BOS – see section 32)	A	5 years after last action	2.7
1.1.10	<b>Access – Search Room management records</b>			
1.1.10.1	Reference queries register	D	7 years after last entry	3.2
1.1.10.2	Photocopy request forms – top portion containing item details (bottom portion contains a copyright declaration and is retained by SRO – see section 1.1.2)		Give to client with completed photocopying order	3.3
1.1.10.3	Requests to reserve items	D	When reference ceases	3.5
1.1.10.4	Search Room log book (used to record matters of note in the Search Room, and volunteer workers signing in or out)	D	7 years after last entry	3.8
1.1.10.5	Problems register (used to record problems with arrangement of archive consignments or finding aids)	D	3 years after problems addressed	3.9
1.2	<b>Acquisition</b> Acquisition of estrays	A	5 years after last action	New entry
1.3	<b>Advice</b> Advice regarding the State archives collection provided to State and Local Government agencies on issues such as restricted access, transfers and preservation	A	10 years after last action	4.4

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<b>Ref No</b>	<b>Description of Records</b>	<b>Disposal Action</b> A – Archive D – Destroy R – Retain	<b>Recommended Custody</b>	<b>Comparison to previously approved RD 2002005</b>
<b>1.4</b>	<b>Authorisation</b> Delegations of authority	Refer to GDAHRM		
<b>1.5</b>	<b>Compliance</b> Complying with mandatory accountability, fiscal, legal, regulatory or quality standards or requirements to which the SRO is subject. Includes complying with legislation.	Refer to GDAA		
<b>1.5.1</b>	Restricted Access Archives – review of restricted access periods for items in the State archives collection	A	5 years after last action	New entry
<b>1.6</b>	<b>Control</b> Creating, maintaining and evaluating control mechanisms to ensure maximum control over State archives.			
<b>1.6.1</b>	Development of the Register of State Archives (ROSA)	A	5 years after last action	New entry
<b>1.6.2</b>	Accession and consignment registers	A	5 years after last entry	13.5
<b>1.6.3</b>	Archive Notes (AN) listings	A	5 years after last action	13.6 (previously D/when superseded)
<b>1.6.4</b>	Series Registration System (SRS) and BOS listings (hard copies)	D	When superseded	13.6
<b>1.6.5</b>	Data entry sheets for BOS	D	When printout made from BOS	13.8
<b>1.6.6</b>	Transfer of government agencies' archives to the State archives collection	A	5 years after last action	15.1 (previously R/life of agency)

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<b>Ref No</b>	<b>Description of Records</b>	<b>Disposal Action</b> A – Archive D – Destroy R – Retain	<b>Recommended Custody</b>	<b>Comparison to previously approved RD 2002005</b>
<b>1.7</b>	<b>Disposal</b> Activities associated with the final decision concerning the fate of records ie destruction or transfer to archives. Includes the provision of storage services for external agencies' intermediate records at SRO's Dianella storage.			
<b>1.7.1</b>	Correspondence with agencies concerning disposal of records. Includes liaison with Ministers' offices regarding disposal of their records	A	5 years after last action	New entry
<b>1.7.2</b>	Intermediate records repository service accounts (individual agency files), showing agencies' records holdings and their authorisations to destroy records	R	Retain within SRO	23.1
<b>1.8</b>	<b>Enquiries</b> Requests for information about Archival Services by the general public or another organisation. Includes reference queries, general access queries and queries regarding government records	D	7 years after last action	3.1 (previously D/10 years)
<b>1.9</b>	<b>Estrays Management</b> Management of records which have been alienated from the possession of their legitimate custodian. Includes records or documentation received by the SRO, from a source other than the lawful custodian	A	5 years after last action	19.1
<b>1.10</b>	<b>Evaluation</b> The process of determining the effectiveness of programs, practices, systems or services in relation to archival services.			
<b>1.10.1</b>	Evaluation – SRO programs relating to core business	A	5 years after last action	New entry
<b>1.10.2</b>	Evaluation – programs relating to administration	D	5 years after last action	New entry

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<b>Ref No</b>	<b>Description of Records</b>	<b>Disposal Action</b> A – Archive D – Destroy R – Retain	<b>Recommended Custody</b>	<b>Comparison to previously approved RD 2002005</b>
<b>1.11</b>	<b>Implementation</b> Carrying out or putting into action, a plan, procedure or system (eg Royal Commission Records Project)	A	5 years after last action	New entry
<b>1.12</b>	<b>Loans Management</b> Management of the loans of archival records to government agencies. Includes correspondence with agencies regarding provision of the government loans service	D	7 years after last action	New entry
<b>1.13</b>	<b>Planning</b> Operational or administrative plans – development, final plan, implementation eg planning to address reference services issues	D	7 years after last action or 7 years after plan superseded	New entry
<b>1.14</b>	<b>Preservation</b> The maintenance and protection of the State archives collection. Includes preservation and conservation work carried out on items in the State archives collection by the Preservation Services Branch of the State Library of WA and records relating to the Government Agencies Archival Microfilming Project (GAAMP).			
<b>1.14.1</b>	Preservation programme (preservation activities carried out, funds spent etc)	A	5 years after last action	31.4 (prev. R/life of agency)
<b>1.14.2</b>	GAAMP worksheet (electronic table, summary document showing details of applications, used for tracking purposes – information is duplicated in Archival Services – Advice files)	D	10 years after last action	31.12 (prev. R/life of agency)
<b>1.14.3</b>	GAAMP – duplicates of proposal forms and questionnaires received from agencies (originals held on Advice files – see 1.4)	D	5 years after last action	31.11

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<b>Ref No</b>	<b>Description of Records</b>	<b>Disposal Action</b> A – Archive D – Destroy R – Retain	<b>Recommended Custody</b>	<b>Comparison to previously approved RD 2002005</b>
<b>1.14.4</b>	Conservation/treatment requests and reports (copies received from Preservation Services)	A	5 years after last action	31.5 (prev. R/life of agency)
<b>1.14.5</b>	Delivery docketts (from Preservation Services)	D	1 year after order received	31.10
<b>1.14.6</b>	Work order forms (for conservation work and microfilming)	D	1 year after order completed	31.6
<b>1.14.7</b>	Microfilming working documents, including: Microfilming calculations (estimates, sent to Preservation Services); Microfilming sequence sheets (used by camera operator); and Microfilming targets (printed cards that are photographed with the archives, providing additional information, e.g. “file missing”)	D	3 months after microfilming order completed	31.7 (previously D/after microfilming completed); 31.7 (previously D/after microfilming completed); 31/8 (previously D/6 months after microfilming completed)
<b>1.14.8</b>	Register of audio tapes, videotapes and reels in State archives collection – transferred to BOS	D	1 year after information transferred to BOS	31.13 (previously R/life of agency)
<b>1.15</b>	<b>Programs</b> Activities associated with the development and management of programs in relation to the State archives collection.			

**State Records Office of Western Australia  
Retention and Disposal Schedule for Functional Records**

Ref No	Description of Records	Disposal Action A – Archive D – Destroy R – Retain	Recommended Custody	Comparison to previously approved RD 2002005
1.15.1	Programs – precedent setting, involving substantial public debate or controversy, or of wide community interest	A	5 years after last action	New entry
1.15.2	Programs – other	D	7 years after last action	New entry
1.16	<b>Security</b> Activities associated with measures taken to protect the State archives collection.			
1.16.1	Confidentiality agreements signed by employees	D	7 years after signatory ceases work at SRO	35.6
1.16.2	Security breaches – reports and investigations	D	7 years after last action	New entry
1.17	<b>Space Management</b> Activities associated with administering areas utilised by the SRO for the storage of collections, resources, etc.			
1.17.1	Areas utilised by SRO for the storage of the State archives collection	D	10 years after last action	30.8
1.17.2	Intermediate Records Repository	D	10 years after last action	30.9
2	<b>COMMUNITY RELATIONS</b> Activities associated with establishing rapport with the community and raising and maintaining SRO's public profile.	Refer to GDAA		10.9, 10.4, 10.5, 10.6
2.1	<b>Addresses (Presentations)</b> Geoffrey Bolton lecture – annual lecture series coordinated by SRO featuring speakers external to the SRO	A	5 years after last action	New entry
2.2	<b>Projects</b> Activities associated with the development and management of projects in association with other organisations.			

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<b>2.2.1</b>	Projects – precedent setting, involving substantial public debate or controversy, or of wide community interest	A	5 years after last action	New entry
<b>2.2.2</b>	Projects – other	D	7 years after last action	New entry
<b>3</b>	<b>CONTRACTS MANAGEMENT</b> Activities related to managing the SRO's contractual agreements.			
<b>3.1</b>	<b>Tendering</b>	Refer to GDAFA		
<b>4</b>	<b>CORPORATE INFORMATION MANAGEMENT</b> Management of SRO's corporate records and information, including capture, registration, classification, indexing, storing, retrieving, retention and disposal, and mail and courier services.	Refer GDAA Information Management		
<b>4.1</b>	<b>Projects</b> Activities associated with the development and management of projects relating to corporate information services provision. Includes planning and developing information management systems (eg an EDRMS).			
<b>4.1.1</b>	Projects resulting in the implementation of an information management system	D	7 years after system discontinued	New entry
<b>4.1.2</b>	Projects – other	D	7 years after last action	New entry
<b>5</b>	<b>EQUIPMENT AND STORES</b> Acquiring, supplying, maintaining, repairing and disposing of equipment and stores used by the SRO.	Refer to GDAA; GDAFA		

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Ref No	Description of Records	Disposal Action A – Archive D – Destroy R – Retain	Recommended Custody	Comparison to previously approved RD 2002005
6	<b>ESTABLISHMENT</b> Establishing and changing the organisational structure through establishment and review of positions.	Refer to GDAHR		
7	<b>FINANCIAL MANAGEMENT</b> Management of the SRO's financial resources.	Refer to GDAFA		23.2, 23.3
8	<b>FLEET MANAGEMENT</b> Acquisition, management, maintenance, repair and disposal of SRO vehicles.	Refer to GDAA; GDAFA		
9	<b>FOI</b> Management of Freedom of Information applications.	Refer to GDAA Information Management		
10	<b>GOVERNMENT RECORDKEEPING SERVICES</b> The functions of managing, preserving and utilising government records. Includes the provision of consultative and advisory services for records managers in the public sector, promotion of best practice recordkeeping, and formulation of policies, standards and guidelines.			
10.1	<b>Advice</b>	Refer to GDAA		
10.1.2	Advice – recordkeeping advice and consultancies (provided to State, Local and Commonwealth Government agencies, private organizations and individuals)	D	25 years after last action	4.1
10.1.3	<b>Lists of service suppliers (eg consultants, storage facilities) sent to clients upon request</b>	D	When superseded	4.5

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<b>10.1.4</b>	<b>Appraisal (of Archives and Records)</b> The evaluation of records held by Western Australian State and Local Government agencies, for ultimate archiving (transfer to the State archives collection) or destruction.			
<b>10.1.4.1</b>	Development of agency-specific disposal authorities, including the presentation of such authorities to the State Records Advisory Committee (and its predecessor, the Standing Committee on Public Records), and agencies' use of the General Disposal Authorities produced by SRO. (These files contain approved copies of agencies' Ad Hoc Disposal Authorities and Disposal Lists.)	A	10 years after last action	7.1
<b>10.1.4.2</b>	Control sheets (greens – used to register the receipt of agencies' disposal authorities)	D	15 years after last action	7.2
<b>10.1.4.3</b>	Approved Retention and Disposal Schedules – master copies	A	10 years after last action	7.3
<b>10.1.4.4</b>	Approved copies of Retention & Disposal Schedules – index (updates)	D	When superseded	7.4
<b>10.1.4.5</b>	Approved copies of Retention & Disposal Schedules – index (final)	A	5 years after last action	7.5
<b>10.2</b>	<b>Compliance</b>	Refer to GDAA		
<b>10.3</b>	<b>Enquiries</b> Requests for information from the general public or another organisation in relation to Recordkeeping Services	D	10 years after last action	New entry
<b>10.4</b>	<b>Evaluation</b> The process of determining the effectiveness of programs, practices, systems or services in relation to recordkeeping.			
<b>10.4.1</b>	Evaluation – SRO programs relating to core business	A	5 years after last action	New entry
<b>10.4.2</b>	Evaluation – programs relating to administration	D	5 years after last action	New entry

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<b>10.4.3</b>	Evaluation – other programs, processes etc. Includes SRO input into the development of Common Use Agreements (CUAs)	D	7 years after last action	New entry
<b>10.5</b>	<b>Implementation</b> Activities associated with the implementation of the State Records Act, SRC Standards etc	A	5 years after last action	New entry
<b>10.6</b>	<b>Legislation</b> Development of the State Records Act and related Consequential Provisions Act and comments on other legislation.			
<b>10.6.1</b>	Development of legislation (including Acts, Bills, regulations, State Records Commission Standards, and amendments) forming the legislative basis for the organisation, including: proposals, consultations, reviews, submissions, drafts, and explanatory notes	A	5 years after last action	25.1, 25.7, 25.8
<b>10.6.2</b>	Legislation – requests for interpretation (e.g. legal advice)	A	5 years after last action	25.2
<b>10.6.3</b>	Other legislation affecting organisation functions – significant comments and contributions	A	5 years after last action	25.3
<b>10.6.4</b>	Other legislation affecting organisation functions – minor comments and contributions	D	10 years after last action	25.4
<b>10.6.5</b>	Other legislation not affecting organisation functions – minor comments and contributions	D	10 years after last action	25.5

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<b>10.7</b>	<b>Liaison</b> Maintaining regular contact with outside parties with an interest in recordkeeping and archives	D	5 years after last action	New entry
<b>10.8</b>	<b>Planning</b> Records relating to planning to achieve government recordkeeping objectives. Includes development of recordkeeping plans format	A	5 years after last action	New entry
<b>10.9</b>	<b>Programs</b> Developed by external organisations for investigation by SRO	D	2 years after last action	New entry
<b>10.10</b>	<b>Standards</b> Development and publication of standards for recordkeeping by the SRO.			
<b>10.10.1</b>	Standards – if published		Lodge four copies with J.S. Battye Library of West Australian History as per Premier's Circular 2003/17	
<b>10.10.2</b>	Standards – master copies (if not published)	A	5 years after last action	New entry
<b>10.10.3</b>	Standards – development	D	5 years after last action	New entry
<b>10.10.4</b>	Supplementary material (e.g. drafts, working papers)	D	3 years after last action	New entry

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Ref No	Description of Records	Disposal Action A – Archive D – Destroy R – Retain	Recommended Custody	Comparison to previously approved RD 2002005
<b>10.11</b>	<b>Systems Management</b>	Refer to GDAA Technology & Telecommunications		
<b>11</b>	<b>GOVERNMENT RELATIONS</b> Administration of the relationship between SRO and processes of government. See also GDA for Administrative Records.	Refer to GDAA		
<b>11.1</b>	<b>Liaison</b> Maintaining regular contact with other government organisations.			
<b>11.1.1</b>	SRO liaison with Department of Culture and the Arts, State Library of WA and State Records Commission	A	5 years after last action	New entry
<b>11.1.2</b>	Liaison (eg information sharing) with other government organisations	D	5 years after last action	New entry
<b>11.2</b>	<b>Planning</b>			
<b>11.2.1</b>	Planning for significant projects, ie those that: Affects the whole-of-government or portfolio function, or Concerns or affects Corporate Executive activity, or Concerns major liabilities or obligations of the organization and/or the State, or Relates to the development of legislation, regulations, or policy, or Relates to controversial matters, or Has wide community interest, or Otherwise (significantly) impacts or affects SRO's functions or structure.	A	5 years after last action	New entry
<b>11.2.2</b>	Planning for other projects not covered by the above	D	7 years after last action	New entry

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Ref No	Description of Records	Disposal Action A – Archive D – Destroy R – Retain	Recommended Custody	Comparison to previously approved RD 2002005
<b>12</b>	<b>HUMAN RESOURCES MANAGEMENT</b> Management of all employees within SRO.	Refer to GDAHRM		
<b>12.1</b>	Personal files – duplicates (originals kept by Department of Culture and the Arts)	D	When staff member ceases work at SRO	21.1
<b>12.2</b>	Social activities within SRO (e.g. Christmas function)	D	3 years after last action	21.9
<b>13</b>	<b>INFORMATION SYSTEMS</b> Management of the SRO's information resources, including developing, acquiring, implementing and managing technology resources.	Refer to GDAA Information Management; Technology & Telecommunications		41.2; 41.3
<b>13.1</b>	<b>Customer Service</b> Activities associated with planning, monitoring and evaluation of services provided to SRO's clients. Includes feedback on SRO website	D	7 years after last action	41.6
<b>13.2</b>	<b>Planning</b> Planning for significant information systems projects, ie those that: Affect the whole-of-government or portfolio function, or Concern or affects Corporate Executive activity, or Concern major liabilities or obligations of the organization and/or the State, or Relate to the development of legislation, regulations, or policy, or Relate to controversial matters, or Have wide community interest, or Otherwise (significantly) impacts or affects SRO's functions or structure	A	5 years after last action	New entry

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<b>13.2.2</b>	Planning for other projects not covered by the above	D	7 years after last action	New entry
<b>13.3</b>	<b>Telecommunications</b>	Refer to GDAA Technology & Telecommunications		
<b>14</b>	<b>LEGAL SERVICES</b> Provision of legal services to the SRO, including interpretation and provision of advice to SRO regarding legal matters.	Refer to GDAA		
<b>15</b>	<b>OCCUPATIONAL HEALTH AND SAFETY</b> Implementing and coordination of occupational health and safety policy and practices throughout SRO.	Refer to GDAHR		
<b>16</b>	<b>ORGANISATIONAL DEVELOPMENT</b> Development of staff, systems and processes to enhance the effectiveness of the SRO's operations. Includes organisational reviews.	Refer to GDAHR		
<b>17</b>	<b>PREMISES</b> Management of working spaces within the SRO.	Refer to GDAA Property Management		
<b>17.1</b>	<b>Planning</b> Activities associated with planning in relation to archival storage facilities for State archives. Includes planning for a new State Archival Repository	A	5 years after last action	30.10

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Ref No	Description of Records	Disposal Action A – Archive D – Destroy R – Retain	Recommended Custody	Comparison to previously approved RD 2002005
<b>18</b>	<b>PROFESSIONAL RELATIONS</b> Activities relating to the relationships between the SRO and bodies representing the archives, records and information management professions.	Refer to GDAA Community Relations		32.1; 32.2; 32.3
<b>18.1</b>	<b>Professional Associations</b>			
<b>18.1.1</b>	Submissions (to organizations/groups on recordkeeping or archival issues)	D	10 years after last action	32.4
<b>18.1.2</b>	Government records management groups – liaison (e.g. RIMLG, LGRMG, SW-LGRMG)	A	10 years after last action	32.5
<b>19</b>	<b>PUBLICATION</b> Works issued for sale or distribution internally or to client groups. Includes internal publications, promotional brochures, disposal authorities, records management policies, principles and standards, newsletters, and guides to the State archives collection.  <b>NOTE: Four copies of all publications must be lodged with the Batty Library.</b>	Refer to GDAA		
<b>19.1</b>	<b>Planning</b> Annual report – SRO contribution and comments on SRO component of Department of Culture and the Arts’s annual report	D	5 years after last action	New entry

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<b>20</b>	<b>RECORDKEEPING PLANNING</b> The assessment of Recordkeeping Plans submitted by State and Local government agencies, as required under the <i>State Records Act 2000</i> .			
<b>20.1</b>	<b>Evaluation</b> Activities associated with the evaluation of recordkeeping plans submitted by government agencies for approval by the State Records Commission.			
<b>20.1.1</b>	<b>Recordkeeping Plans (formulation and development)</b>	D	25 years after last action	<b>4.2</b>
<b>20.1.2</b>	<b>Recordkeeping Plans – master copies</b>	R	Retain within SRO	<b>4.3</b>
<b>20.1.3</b>	Recordkeeping Plan for SRO and SRC – Formulation, development and master copy	A	5 years after last action	<b>New entry</b>
<b>21</b>	<b>RISK MANAGEMENT</b> Identification of risks and implementation of appropriate practices and procedures to be undertaken following an incident.	Refer to GDAA Strategic Management		
<b>22</b>	<b>SKILLS DEVELOPMENT</b> Training needs and programs available to SRO staff to enable them to develop their skills and abilities.	Refer to GDAHR		
<b>22.1</b>	<b>Training</b> Training information summaries completed by SRO staff – copies (originals sent to Department of Culture and the Arts)	D	2 years after last action	36.1

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<b>23</b>	<b>STRATEGIC MANAGEMENT</b> Broad systematic management planning which identifies corporate mission, objectives and strategies. Includes the formulation of legislation providing the legislative basis for the SRO.	Refer to GDAFA		
<b>23.1</b>	<b>Grant Funding</b>	Refer to GDAFA		
<b>23.2</b>	<b>Legislation</b>	Refer to GDAFA		
<b>23.2.1</b>	Implementation of the <i>State Records Act 2000</i>	A	5 years after last action	New entry
<b>23.3</b>	<b>Planning</b>	Refer to GDAFA		
<b>23.3.1</b>	Archive Keeping Plan (preservation, conservation and disaster recovery plan for State archives collection) – development and master copy	A	5 years after last action	31.1 (previously D/7 yrs), 31.2
<b>23.4</b>	<b>Projects</b>			
<b>23.4.1</b>	Projects – precedent setting, involving substantial public debate or controversy, or of wide community interest	A	5 years after last action	New entry
<b>23.4.2</b>	Other projects not covered by the above	D	7 years after last action	New entry
<b>24</b>	<b>TRAVEL</b>			
	Arrangement of travel for staff.			
<b>24.1</b>	<b>Allowances</b>	Refer to GDAFA		
<b>24.2</b>	<b>Arrangements</b>			
<b>24.2.1</b>	Authorisations to travel (seeking and granting)	D	6 years after last action	40.1
<b>24.2.2</b>	Travel arrangements – SRO or SRC business (bookings, arrangement for fleet usage, itineraries etc)	D	2 years after last action	40.2

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<b>Part B</b>	<b>COMMON ACTIVITIES</b>			
<b>25</b>	<b>Agreements / Contracts / Joint Ventures</b>	Refer to GDAA		
<b>26</b>	<b>Client Education</b> Records relating to the development and delivery of training and education courses, seminars, introductory sessions and other education programs.			
<b>26.1</b>	Training and education programs (development and delivery. Includes course material)	D	10 years after last action	8.1
<b>26.2</b>	Training and education program bookings and expressions of interest	D	6 years after last action	8.2
<b>26.3</b>	Administrative arrangements (eg catering)	D	2 years after last action	8.3
<b>27</b>	<b>Committees</b>			
<b>27.1</b>	Audio files of recordings of committee meetings – Recordings are transcribed into the non-verbatim record of the minutes of the meeting	D	3 years after transcript of minutes is accepted	New Entry
<b>28</b>	See GDAA for all other Committee records <b>Meetings</b>			
<b>28.1</b>	Audio files of recordings of meetings – Recordings are transcribed into the non-verbatim record of the minutes of the meeting	D	2 years after transcript of minutes is accepted	New Entry
<b>29</b>	See GDAA for all other Meetings records <b>Policy</b>	Refer to GDAA		
<b>30</b>	<b>Reporting</b>			
<b>30.1</b>	Reporting – functional activities, not reproduced elsewhere	A	5 years after last action	New entry

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<b>30.2</b>	Reporting – functional activities, reproduced elsewhere (e.g. in the annual report)	D	7 years after last action	New entry
<b>30.3</b>	Reporting – other activities	D	5 years after last action	New entry

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<b>Part C</b>	<p><b>DATABASES AND WEBSITES</b> This section refers to records contained in various databases and websites maintained by the SRO.</p> <p><b>NOTE: Migration will be conducted in accordance with State Records Policy No. 8.</b></p>			
<b>31</b>	<p><b>Government Agencies Database</b> “Access” database containing information on government agencies as well as private organisations and individuals who have used SRO recordkeeping services. This data is used to generate queries and reports, such as training attendees lists and mailing lists.</p> <p><b>NOTE:</b> Data is updated regularly to reflect current agency details – no snapshots will be taken to reflect changes</p>	R	Retain within SRO	5.1

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32	<p><b>BOS – Business Operations System</b> Archives management system used since 2004 to document and manage the State archives collection and its use. Currently contains: Accession and consignment details; Conservation documentation (used for tracking conservation work conducted on items in collection); Restricted access archives; Researchers database; and SRO contact lists.</p> <p><b>NOTE: This database will be migrated in accordance with State Records Policy No. 8</b></p>	A	Archive within SRO	New entry
33	<p><b>Intermediate Records Repository Database</b> Excel spreadsheet indicating records stored for each agency, account details, dates for review or withdrawal of holdings</p>	R	Retain within SRO	23.4
34	<p><b>Loans Database</b> Excel spreadsheet indicating archives loaned to agencies since 1990. Details include files loaned and date due, financial details used to generate invoices for loans fees, overdue charges and late return fees</p>	R	Retain within SRO	New entry
35	<p><b>Researchers Database</b> Lotus database used until 2006 containing researchers' registration and contact details – duplicates information contained on researchers' registration forms. Researcher information is now entered and maintained on BOS</p>	D	7 years after decommissioning of database	2.8 (previously R/life of agency)

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<b>36</b>	<b>SRS Database</b> Accession and consignment information – migrated to BOS in 2004	D	7 years after decommissioning of database	13.7 (prev. A within SRO)
<b>37</b>	<b>WEBSITE</b> Records relating to the planning, content and implementation of the SRO web site. A procedure for a snapshot of the website to be captured on CD twice yearly will be established in cooperation with the DCA Information Services section.  The SRO website contains information material only and includes the Archives Explored Online (AEON) search engine enabling searches to be conducted on the accession and consignment information in BOS.  <b>NOTE: Electronic records designated as having archival value will be managed in accordance with State Records Policy No. 8.</b>			
<b>37.1</b>	Website – snapshots and backup CDs	A	Archive within SRO	41.1
<b>37.2</b>	Amendments - log book (brief description of alterations made to site: date of change, name of file changed, etc.) up to 2005	D	7 years after web site discontinued or superseded	41.4
<b>37.3</b>	Amendments made to site (detailed changes, will be captured in snapshot. Cross-referenced in log book) up to 2005	D	7 years after last action	41.5

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36.4	Amendments to site 2005 – present (captured by content management software)	D	7 years after publication to website	New entry