



STATE RECORDS COMMISSION
OF WESTERN AUSTRALIA

STATE RECORDS COMMISSION RECORDKEEPING PLAN 2007

State Records Commission of Western Australia
Perth, Western Australia
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Introduction

This document is presented to the Minister for Culture and the Arts 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 Commission 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 Commission. The management of archival records in the State archives collection will be addressed in the State Records Office's, Archive Keeping Plan.

This Recordkeeping Plan applies to all :

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

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 Commission (SRC) was established in July 2001 following the proclamation of Part 8 of the *State Records Act 2000*. The SRC consists of four members: the Auditor General, the Freedom of Information Commissioner, the Ombudsman and an appointee with recordkeeping experience who is not a public servant. The ex officio or fourth Commissioner is appointed by the Governor for a three year term.

Current Members

Auditor General, Mr Colin Murphy;
Acting Information Commissioner, Ms Darryl Wookey;
Ombudsman, Mr Chris Field; and
Ms Kandy-Jane Henderson (3 year term)

The Commissioners generally meet on a bi-monthly basis. The Director of State Records is the SRC's Executive Officer; staff of the State Records Office provide a permanent secretariat for the SRC.

1.2 Vision Statement

"A sustainable, self-regulated sector with records management integrated into mainstream operations and useable, accessible archives."

1.3 Mission Statement

"To make good recordkeeping practices mainstream – simply part of every agency's good administrative practice."

1.4 Business Activity

Part 8 of the *State Records Act 2000* establishes the SRC and defines its functions and powers.

Section 60 of the Act defines the SRC's ongoing functions as follows:

- a) monitoring the operation of and compliance with this Act; and
- b) monitoring compliance by government organisations with record keeping plans; and
- c) inquiring into breaches or possible breaches of this Act.

Section 61 requires the SRC to establish principles and standards for recordkeeping by Government organisations. The development of Recordkeeping Plan requirements is a core function of the SRC. Part 3 of the Act requires all Schedule 1 organisations to submit their plans to the SRC

within two years of the gazettal of the Principles and Standards. (Principles and Standards were published in the Western Australian Government Gazette of 5 March 2002). Section 28 (5) requires that all Government organisation's Recordkeeping Plans must be reviewed within 5 years of the Plan's approval.

Section 62 establishes a Committee comprising representatives from the public service and bodies concerned with recordkeeping to examine the retention and disposal components of Recordkeeping Plans and recommending the approval of those disposal authorities to the SRC. This body, which is called the State Records Advisory Committee, meets bi-monthly and is chaired by the Director of State Records. Other State Records Office staff provides secretarial support to the Committee.

Section 64 requires the SRC to report annually to Parliament on its own activities and the operation of the *State Records Act 2000*.

Sections 67, 68 & 69 assign investigative powers to the SRC including the powers of special inquirer under the *Public Sector Management Act 1994*.

Part 5 and Part 6 of the *State Records Act 2000* require the SRC to determine the access status of those State archives referred to as restricted access archives in an organisation's Recordkeeping Plan.

In performing these functions the SRC aims to ensure that best practice recordkeeping is adhered to by Government agencies and that, subject to the law, government records are made accessible to the community.

1.5 Outsourced Functions

Section 63 of the *State Records Act 2000* requires the 'relevant Minister' to provide the SRC with facilities and resources necessary for the performance of its functions. The Minister may also authorise the SRC to make use of other staff or facilities by arrangement with 'the department of the Public Service that principally assists the Minister in the administration of this Act'.

Responsibility for the day-to-day operation of the SRC's activities is vested with the Director of State Records. The Director is the SRC's Executive Officer and chairperson of the State Records Advisory Committee. As the SRC does not employ any staff, all secretarial and general administrative support for the Commissioners and the Executive Officer is carried out by staff of the State Records Office.

1.6 Stakeholders

- The State Records Office;
- The 'relevant Minister' as defined in Section 3 of the *State Records Act 2000*;
- All government organisations identified in Schedules 1 and 3 of the *State Records Act 2000*;
- The Department of Culture and the Arts;
- Commonwealth, State and Territory archival institutions; and
- The people of Western Australia.

1.7 Enabling Legislation

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

1.8 Other Legislation

Other legislation has a significant impact on the management of the SRC. 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*;
- *Freedom of Information Act 1992*;
- *Interpretation Act 1984*; and
- *Public Sector Management Act 1994*.

1.9 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

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

2.1 Creation, Capture and Control of Records

The State Records Office (SRO) is responsible for maintaining the Corporate Records of the State Records Commission (SRC). With the exception of the website all SRC records are in hardcopy format. 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 A) [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

The SRO website incorporates a section on the SRC. The SRO website is maintained in-house by the Archival Services Team. Website backup procedures are described under Principle Four: Preservation.

The SRO website resides on a Department of Culture and the Arts (DCA) network server and is maintained in-house by the 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 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 3rd floor of the Alexander Library Building (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.

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 on behalf of the SRC using the Microsoft office suite of applications, SRO 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 successful conversion of all 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

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 SRC 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 SRC 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 and the SRC, 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 SRC as may occur from time to time, the SRO will consult with the SLWA Corporate Information Unit in order to facilitate those adjustments

4 Principle Four: PRESERVATION

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

SRC Minutes and registered files, ie files with a SRC prefix, are kept with the other corporate files of the SRO in metal cupboards on the mezzanine floor of the Alexander Library Building (ALB). The storage facility includes:

- Metal shelving;
- 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

None of the SRC's records are stored in a commercial off site storage facility.

4.1.3 Storage of Backups

The DCA Information Systems section manages the backup of all systems housed on the DCA network servers. 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 SRC has approximately:
2 metres of temporary records stored onsite; and
2 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 the business of the SRC 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 the SRC's 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 of the ALB.

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 list of vital records including strategies for protection and recovery of records.

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 1st 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 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 of loss and recovery of hard copy and electronic records include storage facilities for files and access to the TRIM recordkeeping system and the ALB premises are as described above.

4.3.4 Storage Review

Storage facilities for SRC records are monitored on an ongoing basis. Additional 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

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 SRC Retention and Disposal Schedule for Functional Records, RD 2007020, to supersede RD 2002004, is attached as part of this Plan (see Attachment C).

5.2 Restricted Access Archives

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

5.3 Archive not transferred to the SRO

The State Records Commission has not identified any State archives that will not be transferred to the State archives collection for permanent preservation.

5.4 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; or
- Retention and Disposal Authority for Functional Records of the State Records Commission.

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

5.5 Authorised Disposal of Records

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

5.6 Identified Areas for Improvement

By February 2008:

- Implementation of RD 2007020 by SLWA CIU section after approval by the Minister.

By June 2008:

- Implementation of the records disposal program.

6 Principle Six: COMPLIANCE

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

6.1 Induction Programs

Commissioners have undertaken induction programs and briefing sessions with the Director of State Records.

6.2 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.

6.3 Evaluation of Efficiency and Effectiveness of Recordkeeping Systems

The SLWA CIU conducted a Client Satisfaction Survey in 2003.

6.4 Recordkeeping Compliance in Annual Reports

The following excerpt is taken from the State Records Commission Annual Report 2005 – 2006:

COMPLIANCE WITH STANDARD 2, PRINCIPLE 6

For the Commission, the SRO manages its recordkeeping systems, and thus compliance with SRC Standard 2 Principle 6 is linked to the compliance of the SRO.

In relation to the obligation to evaluate the efficiency and effectiveness of the Commission's record keeping systems not less than once every five years, such a review will be undertaken by the SRO during 2006/07, and will be reported on once this has occurred.

In relation to the obligation to conduct relevant training, to review the efficiency and effectiveness of such training and to ensure an induction program covers Commissioners' roles and responsibilities under the Commission's Record Keeping Plan, the Commissioners through their active membership of the Commission and through their attendance at associated events (see the section '**Spreading the Message**') have continued to expand their knowledge in this area.

7 SRC Standard 6: Outsourcing

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

The SRC does not currently outsource any functions. Where a function is outsourced under contract in the future, those contracts will be managed via the Department of Culture and the Arts.

Appendix 1 - Vital Records Program – 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 2007020

State Records Commission of Western Australia

Retention and Disposal Schedule for Functional Records

November 2007

RD 2007020

Version 1.1

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

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State Records Commission of Western Australia Retention and Disposal Schedule for Functional Records

1 About This Document

1.1 Background

The State Records Commission (SRC) was established in July 2001, in accordance with the *State Records Act 2000* (the Act). The Commission is an independent body and has a direct reporting responsibility to Parliament.

The functions of the SRC include:

- the monitoring the operation of and compliance with the Act;
- monitoring compliance by government organisations with recordkeeping plans; and
- inquiring into breaches or possible breaches of the Act; and
- establishing recordkeeping principles and standards.

It is a requirement of the Act that every government organisation must have a Recordkeeping Plan, approved by the SRC. The Plan is to outline how records are created and kept within the organisation, and must show evidence of compliance with the Principles and Standards established by the SRC.

1.2 Purpose of the Schedule

This Retention and Disposal Schedule (the Schedule) provides a management tool for the retention and disposal of functional records of the SRC and ensures compliance with legal obligations. This Schedule has been created to form part of the Recordkeeping Plan of the SRC, 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 not required for permanent retention.

State Records Commission of Western Australia Retention and Disposal Schedule for Functional Records

1.3 Scope of the Schedule

This Schedule covers the functional records of the SRC and supersedes RD 2002004.

The State Records Office (SRO) is responsible for maintaining the corporate records of the SRC.

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)

1.4 Revision of the Schedule

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

2 Recordkeeping Environment

2.1 Legislation

Relevant legislation and regulations include, but are not limited to:

- *State Records Act 2000*
- *State Records (Consequential Provisions) Act 2000*
- *Criminal Code Act 1913*
- *Electronic Transaction Act 2003*
- *Evidence Act 1906*
- *Freedom of Information Act 1992*
- *Limitation Act 2005*

State Records Commission of Western Australia Retention and Disposal Schedule for Functional Records

2.2 General Disposal Authorities (GDAs)

The General Disposal Authority for Administrative Records (GDAA), produced by the State Records Office, will be used for the retention and disposal of administrative records.

This Schedule does not include provision for retention and disposal of human resources records as the SRC does not employ staff.

The SRC does not have a dedicated budget. All financial transactions are handled by the SRO. See the SRO's Retention and Disposal Schedule for disposal of financial records.

2.3 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.

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 subsequent actions are completed.

2.5 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 SRC 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 Commission of Western Australia Retention and Disposal Schedule for Functional Records

3 Organisation's Records

3.1 Formats

3.1.1 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*.

3.1.2 Databases

The SRC does not maintain any databases.

3.1.3 Websites

The SRC website is incorporated into the SRO's website. See the SRO's Retention and Disposal Schedule for disposal instructions for the website and associated records.

3.1.4 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. If the content cannot be identified, the SRC will consult with the SRO.

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

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

State Records Commission of Western Australia Retention and Disposal Schedule for Functional Records

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.

3.1.5 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 SRC'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.

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)

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

3.3 Archives Not Transferred to the State Archives Collection

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

3.4 Records Relating to Aboriginal People

3.4.1 Premier's Circular No. 2003/02

The Premier's Circular 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”

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

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3.4.2 State Records Act 2000, S. 76

The SRC does hold any records that fall under section 76 of the Act. Should this situation change the SRC will consult the State Records Office.

3.5 Reproduction of Records

The SRC does not reproduce hard copy source records in electronic format.

4 Organisation's Recordkeeping Practices

4.1 Responsibility for Disposal of State Records

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

4.2 Significance of Records

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

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

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.

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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.

5 Arrangement and Definitions of Terms used in the Schedule

This Schedule has been arranged alphabetically by keyword with activity descriptors arranged alphabetically under each keyword.

- **Archive** – a record category identified as having archival value, that is to be transferred to the State archives collection for permanent retention as State archives.
- **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 (A) or Destroy (D).
- **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.

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Ref No	Description of Records	Disposal Action A – Archive D – Destroy	Recommended Custody	Comparison to previously approved RD 2002004
1	COMMISSION MANAGEMENT Management of the State Records Commission (SRC) and its committees, such as the State Records Advisory Committee.			
1.1	Arrangements Arrangements for meetings of the SRC and SRC committees	Refer to GDAA		1.5; 7.2
1.2	Committees			1.2; 1.3; 1.4
1.2.1	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
1.3	See GDAA for all other Committee records			1.1; 7.1
1.3.1	Meetings Audio files of recordings of 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
1.4	See GDAA for all other Meetings records Membership Appointment/termination of SRC members	A	5 years after last action	8.1
2	COMMUNITY RELATIONS Activities associated with establishing rapport with the community and raising and maintaining the SRC's public profile.	Refer to GDAA		2.1; 2.2

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Ref No	Description of Records	Disposal Action A – Archive D – Destroy	Recommended Custody	Comparison to previously approved RD 2002004
3	FOI Management of Freedom of Information applications and compliance with the <i>Freedom of Information Act 1992</i> .	Refer to GDAA Information Management		
4	GOVERNMENT RECORDKEEPING SERVICES 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.			
4.1	Compliance	Refer to GDAA		3.1
4.2	Legislation SRC input into and comments on legislation other than the <i>State Records Act 2000</i>			
4.2.1	Legislation affecting organisation functions – significant comments and contributions	A	5 years after last action	
4.2.2	Legislation affecting organisation functions – minor comments and contributions	D	10 years after last action	
5	GOVERNMENT RELATIONS Administration of the relationship between the SRC and processes of government.	Refer to GDAA		
5.1	Liaison Maintaining regular contact with other government organisations.			

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Ref No	Description of Records	Disposal Action A – Archive D – Destroy	Recommended Custody	Comparison to previously approved RD 2002004
5.1.1	Groups established under section 61(2)(b) of the <i>State Records Act 2000</i> (eg Consultative Group for Principles and Standards)	A	5 years after last action	
5.1.2	Liaison with Department of Culture and the Arts	A	5 years after last action	
5.1.3	Liaison with other government agencies (eg Department of Premier and Cabinet)	D	5 years after last action	11.2
6	LEGAL SERVICES Includes the interpretation and provision of advice to the organisation regarding legal matters and legal advice received from consultants and external sources.	Refer to GDAA		
7	PROFESSIONAL RELATIONS Activities relating to the relationships between the SRC and bodies representing the archives, records and information management professions.	Refer to GDAA Community Relations		11.1, 11.3
8	PUBLICATION Works issued for sale or distribution internally or to client groups. NOTE: Four copies of all publications must be lodged with the Battye Library.	Refer to GDAA		12.1; 12.2; 12.3; 12.4
8.1	Intellectual Property Copyright held by SRC.	D	7 years after copyright expires	4.1