

ESTIMATES AND FINANCIAL OPERATIONS COMMITTEE

Department of Local Government, Sport and Cultural Industries

Hon Tjorn Simba MLC asked:

E1: In relation to the State Records Office Compliance data, would it be possible to table a copy of the standards that are applied, how they are applied by each agency and how they report back to the records commission?

Answer: The applicable State Records Commission (SRC) Standards are:

- SRC Standard 1: Government Recordkeeping
- SRC Standard 2: Recordkeeping Plans
- SRC Standard 3: Appraisal of Records
- SRC Standard 4: Restricted Access Archives
- SRC Standard 6: Outsourcing
- SRC Standard 7: State Archives Retained by Government Organisations and associated Archival Storage Specification
- SRC Standard 8: Managing Digital Information

Each standard was reproduced in full in the Gazette after approval by the Commission and tabled in Parliament. Copies of each standard are provided at Attachment 1.

Each agency applies the Standards in accordance with specific "Minimum Compliance Requirements" laid out in SRC Standard 2: Recordkeeping Plans, designed to assist government organisations.

Each agency is required to report on their recordkeeping compliance every 5 years or periodically if instructed by the Commission.

The efficiency and effectiveness of an organization's recordkeeping; induction and / or staff training is incorporated into the organisation's Annual Report.

E2: In relation to the State Records Office, please provide a list of when an investigation into the conduct of an agency has been initiated by the State Records Office within the Western Australian jurisdiction?

Answer: The Legislative responsibility of conducting investigations of an agency in respect to records vests with the State Records Commission. The State Records Office provides support to the Commission in undertaking its Legislative responsibilities.

The number of investigations conducted by the State Records Commission;

	2016 -2017	2015 -2016
Active	4	4
Resolved	2	3
Carried Forward	2	1



Hon Diane Evers MLC asked:

E3: In relation to the Sports Financial Grants, please provide a list of the “Local Projects Local Jobs Programs” over \$10 000?

Answer:

ARKS Rugby Club	\$ 25,000.00
Balcatta Cricket Club	\$ 25,000.00
Balcatta Football Club	\$ 25,000.00
Ballajura Association Football Club	\$ 14,000.00
Ballajura Junior Cricket Club	\$ 14,000.00
Ballajura Junior Football Club	\$ 14,000.00
Ballajura Little Athletics	\$ 14,000.00
Ballajura Senior Football Club	\$ 14,000.00
Bassendean Bowling Club	\$ 20,500.00
Bassendean Junior Football Club	\$ 15,000.00
Bassendean Tennis Club	\$ 13,000.00
Bibra Lake Skate Park	\$ 400,000.00
City of Armadale	\$ 20,000.00
City of Bayswater	\$ 75,000.00
City of Cockburn	\$ 65,000.00
City of Gosnells	\$ 150,000.00
City of Joondalup	\$ 435,000.00
City of Rockingham	\$ 100,000.00
City of Stirling	\$ 271,000.00
City of Swan	\$ 400,000.00
City of Vincent	\$ 15,000.00
City of Wanneroo	\$ 15,500.00
Cockburn Powerboats Association	\$ 50,000.00
Coogee Surf Life Saving Club	\$ 187,000.00
Darlington Sports and Recreation Association (WA) Inc	\$ 100,000.00
Equestrian WA Inc.	\$ 63,000.00
Forrestfield Bowling Club	\$ 60,000.00
Forrestfield United Soccer Club	\$ 200,000.00
Gosnells Bowling Club	\$ 100,000.00
Hill BMX Club	\$ 30,000.00
Hilton Park Bowling Club	\$ 50,000.00
Joondalup Little Athletics Centre	\$ 13,180.00
Kardinya Netball Club	\$ 25,000.00
Leederville Cricket Club	\$ 15,000.00
Lesmurdie Tennis Club	\$ 30,000.00
Maddington Cricket Club	\$ 15,000.00
Maylands Tennis Club	\$ 50,000.00

Melville Bowling Club	\$ 25,000.00
Morley Bulldogs Football Club	\$ 20,000.00
North Perth Tennis Club	\$ 35,000.00
Northern Districts Gymnastics Club	\$ 25,000.00
Osborne Park Bowling Club	\$ 50,000.00
Rockingham Basketball and Recreation Association Inc.	\$ 373,000.00
Rockingham Rams Football Club	\$ 60,000.00
Roleystone Gymnastics Club	\$ 16,300.00
Spearwood Dalmatinac Sport and Community Clubs	\$ 175,000.00
Stirling Junior Football Club	\$ 20,000.00
Stirling Lions Football Club	\$ 30,000.00
Swan Athletic Sporting Club	\$ 60,000.00
Swan Districts Football Club	\$ 20,000.00
Thornlie Junior Football Club	\$ 40,000.00
VenuesWest	\$ 746,000.00
Vietnamese Soccer Club	\$ 16,500.00



Hon Colin Tincknell MLC asked:

E4: Can the Minister please supply a detailed listing of the various office locations used by the department, including information on whether these premises are publicly or privately owned, and any rental figures for their us?

Answer: Please see attachment 2

Hon Peter Collier MLC asked:

E5: What is the number of FTE for the Perth Theatre Trust?

Answer: 50 FTE

A handwritten signature in blue ink, appearing to read "Peter Collier". The signature is written in a cursive style with a large initial "P" and "C".



STATE RECORDS COMMISSION

SRC Standard 1

GOVERNMENT RECORDKEEPING

A Recordkeeping Standard for State Organizations

**State Records Commission of WA
Perth, Western Australia
February 2002**

SRC Standard 1 – Government Recordkeeping

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SRC Standard 1 – Government Recordkeeping

DEFINITIONS

Government record – is a record created or received by a government organization or a government organization employee or contractor in the course of the work for the organization.

Government organization – is an organization listed in Schedule 1 or Schedule 3 of the State Records Act 2000.

Parliamentary department – is a department that is deemed to have been constituted in relation to the administration of Parliament for the purposes of the *Financial Administration and Audit Act 1985* by regulations made under Section 3(2) of that Act.

Parliamentary record – is a record created or received by a parliamentary department or a person in the course of their work for the department, whether the person is employed under a contract of service or is engaged under a contract for services or otherwise.

Record – means any record of information however recorded and includes:

- a) any thing on which there is writing or Braille;
- b) a map, plan, diagram or graph;
- c) a drawing, pictorial or graphic work, or photograph;
- d) any thing on which there are figures, marks, perforations, or symbols, having a meaning for persons qualified to interpret them;
- e) any thing from which images, sounds or writings can be reproduced with or without the aid of anything else; and
- f) any thing on which information has been stored or recorded, either mechanically, magnetically, or electronically.

Recordkeeping Plan – is the plan required under Parts 2 and 3 of the State Records Act 2000. State Records Commission Standard 2 provides details about the plan.

State organization – is a parliamentary department or a government organization.

State record – is a parliamentary record or a government record.

SRC Standard 1 – Government Recordkeeping

PURPOSE

The purpose of this Standard, established under Section 61(1)(a) of the State Records Act 2000, is to define principles and standards governing recordkeeping by State organizations.

BACKGROUND

The State Records Act 2000 is an Act to provide for the keeping of State records and for related purposes. Section 61(1) of the Act requires that the State Records Commission is to establish principles and standards for recordkeeping.

The State Records Commission will recommend and encourage the adoption of principles and standards to enhance and support recordkeeping in State organizations.

Existing policies and standards produced by the State Records Office remain current. The *Australian Standard AS15489 Records Management* is the accepted Australian Standard for all aspects of recordkeeping in Australia. It is a useful guide to supplement existing standards produced by the State Records Office.

SCOPE

The principles and minimum compliance requirements in this Standard apply to all State organizations as defined in Section 3 of the State Records Act 2000.

SRC Standard 1 – Government Recordkeeping

Principle 1 –Recordkeeping by State Organizations

State organizations ensure that State records are created, managed and maintained over time, and disposed of in accordance with principles and standards issued by the State Records Commission.

Rationale

The implementation of recordkeeping principles and standards established by the State Records Commission will:

- provide an effective means of accountability across Government;
- provide for an effective flow of information through and across State organizations;
- increase the efficiency of State organizations by ensuring that information is readily identifiable and available;
- promote consistency in recordkeeping across Government;
- provide an effective means of complying with the legislative requirements, especially the State Records Act 2000; and
- lead to better recordkeeping practices.

Minimum Compliance Requirements

The minimum compliance requirements may be demonstrated in the Recordkeeping Plan developed by each State organization. That plan enables State organizations to provide evidence to adduce that:

1. The principles and standards established by the State Records Commission have been implemented by the organization.
2. *Australian Standard AS15489 Records Management* has been adopted as the model for best practice recordkeeping within the organization.

SRC Standard 1 – Government Recordkeeping

BIBLIOGRAPHY

Standards Australia. (2002) *Australian Standard AS15489 – Records Management*. Homebush. Standards Association of Australia.

State Records Office of Western Australia. (1992) *Policies and Standards Manual: Records Management*. Perth. Library Board of Western Australia.

**For further information regarding this standard contact
State Records Office of WA
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STATE RECORDS COMMISSION

SRC Standard 2

RECORDKEEPING PLANS

A Recordkeeping Standard for State Organizations

**State Records Commission of WA
Perth, Western Australia
February 2002**

SRC Standard 2 – Recordkeeping Plans

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SRC Standard 2 – Recordkeeping Plans

DEFINITIONS

Disposal – refers to the removal of records from the organization once they have reached the inactive phase, and their subsequent destruction, or permanent retention as State archives.

Disposal Authority – the document authorising the disposal of records. This may take the form of a Retention and Disposal Authority or Schedule, an Ad Hoc Disposal Authority or a Disposal List, which has been approved. The State Records Commission is the authorizing body for disposal authorities.

File titling system – is a listing or outline of file titles in use in the organization, regardless of format.

General Disposal Authority – a document designed to provide consistency throughout government organizations in disposal activities and decisions. It covers records common to all State organizations such as Human Resource Management and Financial and Accounting. The General Disposal Authority for Local Government covers records common to local governments and may eliminate the necessity for each to prepare its own Schedule.

Government organization – is an organization listed in Schedule 1 or Schedule 3 of the State Records Act 2000.

Government record – is a record created or received by a government organization or a government organization employee or contractor in the course of the work for the organization.

List of authorized headings – A list of authorized subject headings, sometimes known as a list of indexable headings or a thesaurus, is a simple alphabetical listing of terms derived, initially, from terms in the classification scheme. The meaning of the term must be prescribed and relationships between terms shown. It must allow control of the terminology used to name records, by establishing the terms acceptable to and used in the natural language of the organization.

Parliamentary department – is a department that is deemed to have been constituted in relation to the administration of Parliament for the purposes of the *Financial Administration and Audit Act 1985* by regulations made under Section 3(2) of that Act.

Parliamentary record – is a record created or received by a parliamentary department or a person in the course of their work for the department, whether the person is employed under a contract of service or is engaged under a contract for services or otherwise.

Record – means any record of information however recorded and includes:

- a) any thing on which there is writing or Braille;
- b) a map, plan, diagram or graph;
- c) a drawing, pictorial or graphic work, or photograph;

SRC Standard 2 – Recordkeeping Plans

- d) any thing on which there are figures, marks, perforations, or symbols, having a meaning for persons qualified to interpret them;
- e) any thing from which images, sounds or writings can be reproduced with or without the aid of anything else; and
- f) any thing on which information has been stored or recorded, either mechanically, magnetically, or electronically.

State archive – is a State record that is to be retained permanently.

State organization – is a parliamentary department or a government organization.

State record – is a parliamentary record or a government record.

Thesaurus – is a complex alphabetical listing of all terms derived from a classification scheme. Such tools act as a guide in the allocation of classification terms to individual records. In a thesaurus the meaning of the term is specified and hierarchical relationships to other terms shown. A thesaurus should provide sufficient entry points to allow users to navigate from terms that are not to be used to the preferred terminology adopted by the organization.

SRC Standard 2 – Recordkeeping Plans

PURPOSE

The purpose of this Standard, established under Section 61 of the State Records Act 2000, is to ensure that government organization recordkeeping plans submitted to the State Records Commission for approval, meet the requirements of the State Records Act 2000.

BACKGROUND

The State Records Act 2000 is an Act to provide for the keeping of State records and for related purposes. Section 19 of the Act requires that every government organization must have a recordkeeping plan that has been approved by the State Records Commission.

Parliamentary departments are required under Section 12 of the Act to have a recordkeeping plan that is approved by the President of the Legislative Council or the Speaker of the Legislative Assembly.

Government organizations listed in Schedule 3 are required, under Section 27 of the Act, to have a recordkeeping plan that is approved by their relevant Minister.

The State Records Commission is required under Section 25 of the Act, to have a recordkeeping plan that is approved by the Minister.

A government organization's recordkeeping plan sets out the matters about which records are to be created by the organization and how it is to keep its records.

The recordkeeping plan shall comprise one or more documents which, when assessed as a whole, will provide an accurate reflection of the recordkeeping program within the organization. More specifically, documentation regarding the organization's recordkeeping system/s, disposal arrangements, policies, practices and processes will be the essential components of the recordkeeping plan. The inclusion of such documentation will constitute evidence of compliance. Each government organization will be expected to present sufficient evidence that best practices have been implemented within the organization.

Extracts or complete documentation (where applicable) based upon the principles in this standard are to be compiled to form the recordkeeping plan.

SCOPE

The principles and minimum compliance requirements in this Standard apply to all government organizations.

Parliamentary departments must prepare a draft recordkeeping plan in consultation with the Commission and taking note of any relevant principles and standards established by the Commission under Section 61 of the Act.

SRC Standard 2 – Recordkeeping Plans

Principle 1 – Proper and Adequate Records

Government organizations ensure that records are created and kept which properly and adequately record the performance of the organization's functions and which are consistent with any written law to which the organization is subject when performing its functions.

Rationale

Every government organization has roles and functions, usually mandated by legislation, regulation or government directive. There is a wide-ranging set of activities and transactions conducted in the performance of the roles and functions. Proper and adequate records of an organization's business activity must be created and kept to ensure sufficient evidence of an organization's performance of those functions.

To address matters about which records are or should be created, organizations are to identify and describe the internal and external sources of authority that have a bearing on the creation and keeping of its records. Particular attention should be paid to explicit requirements for recordkeeping.

An organization's recordkeeping policies and procedures and its Retention and Disposal Schedule will address specific details about which records will be created and kept.

Under Principle 1, an organization must identify and describe its broad recordkeeping requirements within the business and regulatory environments in which it operates.

Minimum Compliance Requirements

1. The recordkeeping plan will provide information about:
 - historical background of the creating body;
 - mission statement, strategic focus and main business activity of the organization;
 - functions and activities including those that are contracted out to other organizations; and
 - major stakeholders of the organization.

2. The recordkeeping plan will provide a list of:
 - enabling legislation (legislation that establishes the organization and its functions);
 - legislation administered by the organization;
 - other legislation affecting the functions or operations of the organization; and
 - major government or industry standards and codes of practice imposed on or adopted by the organization.

Principle 2 –Policies and Procedures

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

Rationale

A government organization's recordkeeping program is to be compliant with legislative requirements. It should be reliable, systematic and well managed within a framework for consistent and accountable implementation. To achieve this, policies and procedures governing recordkeeping matters in the organization should be in place.

A recordkeeping policy, in the form of one or more identifiable policy statements, should be authorized at an appropriate senior level, promulgated throughout the organization, and be available to all employees.

Recordkeeping policy statements should be comprehensive and provide the framework for underlying procedures. They should emphasize the corporate ownership of government records; that all records are corporate assets and as such, do not belong to individual employees. They should formally define the roles and responsibilities of all employees who manage or perform recordkeeping processes. Most importantly, they should establish an official position on the making and keeping of proper and adequate records of the organization's business activities.

Standard operating procedures for all staff to follow when carrying out recordkeeping tasks should be in accordance with the organization's recordkeeping policy and be based on best-practice standards.

Minimum Compliance Requirements

The recordkeeping plan must provide evidence to adduce that:

1. Policies and standard operating procedures governing recordkeeping in the organization are established, authorized at an appropriate senior level, and are available to all employees.
2. The policies and procedures define the roles and responsibilities of all employees who manage or perform recordkeeping processes.
3. The policies take into account relevant government policy and endorsed standards for the making and keeping of proper and adequate records.
4. The policies and procedures cover records in all formats and all aspects of their management, including:
 - creation of records;
 - capture and control of records;

SRC Standard 2 – Recordkeeping Plans

- security and protection of records;
 - access to records; and
 - appraisal, retention and disposal of records.
5. The organizational scope of the policies and procedures has been addressed, i.e. whether they are applicable to the entire organization, including divisions, regional branches and offices, and outsourced contractors.
 6. The custodianship and management of government records has been addressed in regard to organizational restructures, the transfer of an organization's functions, the creation of new business units or the devolution of authority for managing government records.

Principle 3 –Language Control

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

Rationale

Appropriate mechanisms for controlling the language or terminology used to identify and name an organization's records should be in place to support the organization's business classification scheme.

Such mechanisms, for example, a thesaurus, an authorized list of (subject) headings, or a file titling system, should suit the complexity of the records of the organization and should reflect the terminology used to label the organization's business functions, activities and transactions.

Tools to control and maintain consistent use of language will assist organization-wide uniformity and result in improved indexing, tracking and retrieval of information. Organizations should ensure that the tools used for conventional records are also applicable to electronic records.

Minimum Compliance Requirements

The recordkeeping plan must provide evidence to adduce that:

1. An appropriate tool is in place whereby records are identified and named in a systematic and consistent way.
2. The tool is capable of being augmented and adjusted to reflect changing functions of the organization's business.
3. Any changes to the structure and content of the tool are controlled, authorized and recorded.

Principle 4 –Preservation

Government organizations ensure that records are protected and preserved.

Rationale

Organizations and their employees are responsible for preserving government records for as long as required by law and business requirements. A major threat to the preservation of records is the risk of disaster, natural or otherwise.

Organizations are to establish and maintain a disaster management plan for the records of the organization.

A disaster management plan for records is a plan setting out the strategies and activities for preventing disasters, for preparing an appropriate response to and recovery from disasters, should they occur, and resuming normal business.

Minimum Compliance Requirements

The recordkeeping plan must provide evidence to adduce that:

1. The organization has identified and assessed the risks and impacts of disasters on its recorded information.
2. The organization has planned strategies and activities for the reduction and management of risks to its records.
3. The organization has planned quick-response strategies and activities for salvaging, recovering and stabilizing the condition of the organization's records should a disaster occur.

SRC Standard 2 – Recordkeeping Plans

Principle 5 –Retention and Disposal

Government organizations ensure that records are retained and disposed of in accordance with an approved disposal authority.

Rationale

A government organization's records are to be retained and disposed of in accordance with an approved disposal authority. The State Records Commission, via the State Records Advisory Committee, is the authorizing body for disposal authorities.

Every government organization shall operate an approved Retention and Disposal Schedule, being the records retention and disposal component of the recordkeeping plan. A Retention and Disposal Schedule is a systematic and comprehensive listing of categories or series of records created and/or kept by an organization, which plans the life of those records from creation to ultimate disposal.

For information and guidance on the preparation, format and content of a Retention and Disposal Schedule, organizations are to refer to Sections 8 and 9 in the *Records Disposal: A Handbook for Government Agencies*, published by the State Records Office.

Minimum Compliance Requirements

1. An approved records Retention and Disposal Schedule is operating in the organization.
2. The Retention and Disposal Schedule must:
 - identify the records of the organization and their formats;
 - identify those government records that will be State archives (in accordance with SRC Standard 3 – Appraisal of records);
 - identify those State archives that will be restricted access archives and the ages at which they will cease to be restricted access archives (in accordance with SRC Standard 4 – Restricted Access Archives);
 - identify those State archives that will not be transferred to the State archives collection (in accordance with SRC Standard 5 – Compulsory Transfer of Archives);
 - stipulate the retention period for those government records that are not State archives (in accordance with SRC Standard 3 – Appraisal of records);
 - identify other (previous and current) disposal authorities of the organization; and

SRC Standard 2 – Recordkeeping Plans

- refer to the appropriate General Disposal Authorities published by the State Records Office, and state that the retention and disposal of relevant records will conform to the standards set in these authorities.

Note: The **General Disposal Authority for Financial and Accounting Records** and the **General Disposal Authority for Human Resource Management Records** cover financial and accounting records and human resource management records, common to most government organizations and prescribe the authorized disposal of these records.

Organizations should not incorporate financial, accounting or human resource records into their Retention and Disposal Schedule unless there is particular justification for varying the retention period for any records covered by the General Disposal Authorities.

Local Governments should refer only to the **General Disposal Authority for Local Government Records**.

SRC Standard 2 – Recordkeeping Plans

Principle 6 –Compliance

Government organizations ensure their employees comply with the recordkeeping plan.

Rationale

An organization and its employees must comply with the organization's recordkeeping plan.

Organizations should develop and implement strategies for ensuring that each employee is aware of the compliance responsibilities.

Minimum Compliance Requirements

The recordkeeping plan is to provide evidence to adduce that:

1. The efficiency and effectiveness of the organization's recordkeeping systems is evaluated not less than once every 5 years.
2. The organization conducts a recordkeeping training program.
3. The efficiency and effectiveness of the recordkeeping training program is reviewed from time to time.
4. The organization's induction program addresses employee roles and responsibilities in regard to their compliance with the organization's recordkeeping plan.
5. The organization includes within its annual report an appropriate section that addresses points 1-4.

SRC Standard 2 – Recordkeeping Plans

BIBLIOGRAPHY

National Archives of Australia. (2001) *Designing and Implementing Recordkeeping Systems*. Canberra. National Archives of Australia.

Standards Australia. (2002) *Australian Standard AS15489 – Records Management*. Homebush. Standards Association of Australia.

State Records Office of Western Australia. (1995) *General Disposal Authority for Financial and Accounting Records*. Perth. Library Board of Western Australia.

State Records Office of Western Australia. (1999) *General Disposal Authority for Human Resource Management Records*. Perth. Library Board of Western Australia.

State Records Office of Western Australia. (1992) *Policies and Standards Manual: Records Management*. Perth. Library Board of Western Australia.

State Records Office of Western Australia. (2000) *Records Disposal: A Handbook for Government Agencies*. Perth. Library Board of Western Australia.

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STATE RECORDS COMMISSION

SRC Standard 3

APPRAISAL OF RECORDS

A Recordkeeping Standard For State Organizations

**State Records Commission of WA
Perth, Western Australia
February 2002**

SRC Standard 3 – Appraisal of Records

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SRC Standard 3 – Appraisal of Records

DEFINITIONS

Appraisal – is the process of determining which records are to be retained as archives and which will be destroyed.

Disposal Authority – the document authorising the disposal of records. This may take the form of a Retention and Disposal Authority or Schedule, an Ad Hoc Disposal Authority or a Disposal List, which has been approved. The State Records Commission is the authorizing body for disposal authorities.

General Disposal Authority – a document designed to provide consistency throughout government organizations in disposal activities and decisions. It covers records common to all State organizations such as Human Resource Management and Financial and Accounting. The General Disposal Authority for Local Government covers records common to local governments and will eliminate the necessity for each organization to prepare its own Schedule.

Government organization – is an organization listed in Schedule 1 or Schedule 3 of the State Records Act 2000.

Government record – is a record created or received by a government organization or a government organization employee or contractor in the course of the work for the organization.

Record – means any record of information however recorded and includes:

- a) any thing on which there is writing or Braille;
- b) a map, plan, diagram or graph;
- c) a drawing, pictorial or graphic work, or photograph;
- d) any thing on which there are figures, marks, perforations, or symbols, having a meaning for persons qualified to interpret them;
- e) any thing from which images, sounds or writings can be reproduced with or without the aid of anything else; and
- f) any thing on which information has been stored or recorded, either mechanically, magnetically, or electronically.

Recordkeeping Plan – is the plan required under Parts 2 and 3 of the State Records Act 2000. State Records Commission Standard 2 provides details about the plan.

Retention and Disposal Schedule – is a systematic and comprehensive listing of categories, or series, of records created and/or kept by an organization that plans the life of those records from creation to ultimate disposal.

Retention period – in relation to a record, means the period for which the record must be kept before it may be destroyed.

State archive – is a State record that is to be retained permanently.

State record – is a parliamentary record or a government record.

SRC Standard 3 – Appraisal of Records

PURPOSE

The purpose of this Standard, established under Sections 61(1)(c) and (f) of the State Records Act 2000, is to ensure that State organizations determine which State records should be State archives and determine the retention periods for State records that are not to be State archives.

BACKGROUND

Under State Records Commission Standard 2: Principle 5 (Retention and Disposal), State organizations are to retain and dispose of their records in accordance with an approved disposal authority. The State Records Commission is the authorizing body for disposal authorities.

Several General Disposal Authorities published by the State Records Office are current for the disposal of the records they describe. The General Disposal Authority for Financial and Accounting Records (1996) and the General Disposal Authority for Human Resource Management Records (revised 1999), authorize the retention and disposal of these types of records, which are common to most organizations. State organizations must use these General Disposal Authorities for the retention and disposal of records covered in them.

The General Disposal Authority for Local Government Records covers the retention and disposal of records (including finance and accounting and human resource management records) common to most local governments. Local governments must use this General Disposal Authority for the retention and disposal of records covered by the General Disposal Authority.

State organizations are to operate an approved Retention and Disposal Schedule for those records created or received by the organization that are not covered by the General Disposal Authorities.

SCOPE

The principles and minimum compliance requirements in this Standard apply to all State organizations as defined in Section 3 of the State Records Act 2000.

SRC Standard 3 – Appraisal of Records

Principle 1 –Appraisal of Records

State records are to be kept for as long as required.

Rationale

Every State record, or record series, has a minimum retention period for which it must be kept. Some records series have continuing value and are to be kept permanently as State archives, either within the State archives collection or, in the case of electronic records designated as having archival value, within and by the organization that created or received them. Some records series are to be kept by the organization for the life of the organization. Most records series may be destroyed at the end of their minimum period of retention, in accordance with an approved retention and disposal schedule.

State organizations in developing their Retention and Disposal Schedules must determine which records series are to be retained permanently as State archives and must determine the minimum length of time that a record series, which is not to be a State archive, is to be retained.

The essential criteria for making these determinations are described in *Records Disposal: A Handbook for Government Agencies* (2000) produced by the State Records Office. State organizations may liaise with the State Records Office in making retention and disposal determinations.

Minimum Compliance Requirements

1. State organizations retain and dispose of records covered by the General Disposal Authorities in accordance with those Authorities.
 - The General Disposal Authority for Financial and Accounting Records.
 - The General Disposal Authority for Human Resource Management Records.
 - The General Disposal Authority for Local Government Records.
2. State organizations must take into account legislative and any other legal requirements that prescribe the minimum retention period for a record or records series, and/or identify which records, created or received by the organization in the performance of its functions, are to be retained permanently.
3. State organizations must use the appraisal criteria described in *Records Disposal: A Handbook for Government Agencies*, for determining the minimum retention period and final disposition of those records of the organization not covered by the General Disposal Authority.

SRC Standard 3 – Appraisal of Records

BIBLIOGRAPHY

- Standards Australia. (2002) *Australian Standard AS15489 – Records Management*. Homebush. Standards Association of Australia.
- State Records Office of Western Australia. (1995) *General Disposal Authority for Financial and Accounting Records*. Perth. Library Board of Western Australia.
- State Records Office of Western Australia. (1999) *General Disposal Authority for Human Resource Management Records*. Perth. Library Board of Western Australia.
- State Records Office of Western Australia. (1992) *Policies and Standards Manual: Records Management*. Perth. Library Board of Western Australia.
- State Records Office of Western Australia. (2000) *Records Disposal: A Handbook for Government Agencies*. Perth. Library Board of Western Australia.

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STATE RECORDS COMMISSION

SRC Standard 4

RESTRICTED ACCESS ARCHIVES

A Record Keeping Standard For State Organizations

**State Records Commission of WA
Perth, Western Australia
February 2002**

SRC Standard 4 – Restricted Access Archives

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SRC Standard 4 – Restricted Access Archives

DEFINITIONS

Government organization – is an organization listed in Schedule 1 or Schedule 3 of the State Records Act 2000.

Government record – is a record created or received by a government organization or a government organization employee or contractor in the course of the work for the organization.

Parliamentary record – is a record created or received by a parliamentary department or a person in the course of their work for the department, whether the person is employed under a contract of service or is engaged under a contract for services or otherwise.

Record – means any record of information however recorded and includes:

- a) any thing on which there is writing or Braille;
- b) a map, plan, diagram or graph;
- c) a drawing, pictorial or graphic work, or photograph;
- d) any thing on which there are figures, marks, perforations, or symbols, having a meaning for persons qualified to interpret them;
- e) any thing from which images, sounds or writings can be reproduced with or without the aid of anything else; and
- f) any thing on which information has been stored or recorded, either mechanically, magnetically, or electronically.

Record keeping plan – is the plan required under Parts 2 and 3 of the State Records Act 2000. State Records Commission Standard 2 provides details about the plan.

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 archive – is a State record that is to be retained permanently.

State organization – is a parliamentary department or a government organization.

State record – is a parliamentary record or a government record.

SRC Standard 4 – Restricted Access Archives

PURPOSE

The purpose of this Standard, established under Section 61(1)(d) of the State Records Act 2000, is to ensure that the implications of restricted access provisions of the Act are clearly identified and implemented.

BACKGROUND

Many State archives contain sensitive information. That information may be of a personal nature, have commercial significance, or may include culturally sensitive information. Section 3 of the Act defines a restricted access archive as ...“a State archive that is a government record and to which access is restricted until it is of a certain age”.

The Act requires all government organizations to identify restricted access archives in their record keeping plans and recommend when those records will cease to be restricted. The Commission may approve or not approve these recommendations. If the recommendations are upheld the Commission is required to determine the restricted access period and review these restrictions every five (5) years.

SCOPE

The principles and minimum requirements of this Standard apply to all Government organizations.

SRC Standard 4 – Restricted Access Archives

Principle 1 –Identification of a Restricted Access Archive

State organizations must ensure that restricted access archives are identified in record keeping plans.

Rationale

The record keeping plan must identify those State archives that are to be restricted access archives. The State Records Commission will authorize access recommendations before it ratifies the plan. An organization can apply at any time for the access restriction to be varied. All determinations by the Commission are to be reviewed within five (5) years.

Minimum Compliance Requirements

A government organization must provide evidence that:

- a considered appraisal process has been undertaken to identify State archives to be the subject of a restriction;
- the creating organization of those archives is identified;
- the reasons for restriction are documented;
- the proposed open access date is documented;
- the access restriction is total or conditional; and
- a formal application process to enable public access is in place *.

** In terms of the State Records Act 2000, the application is made under the Freedom of Information Act 1992 (Section 46 of the State Records Act 2000 refers).*

SRC Standard 4 – Restricted Access Archives

Principle 2 –Open Access Archives

State archives must be open for public inspection at some point in their life.

Rationale

The spirit of the State Records Act 2000 is to facilitate open access to State archives by the community unless special conditions apply. In general, government organizations may transfer State archives to the State archives collection at any time. State Records Commission Standard 5 provides details about transfer of State archives to the State archives collection. Once in the State archives collection, those records are available for public inspection subject to Section 37 of the Act.

State archives still in the custody of a government organization after twenty-five (25) years are open to the public, unless the record keeping plan of the government organization that has control of them says otherwise.

Minimum Compliance Requirements

Government organizations must provide evidence that:

1. State archives which are subject to a restriction are identified, and that the Commission's authorization is readily available.
2. A mechanism is in place to ensure that restrictions are referred to the Commission for review at least every five (5) years.
3. Where a State archive is more than twenty-five (25) years old, is an open access archive and remains in the custody of the responsible organization, the organization has a mechanism in place for the public to have access to the archive.

SRC Standard 4 – Restricted Access Archives

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STATE RECORDS COMMISSION

SRC Standard 6

OUTSOURCING

A Recordkeeping Standard for State Organizations

**State Records Commission of WA
Perth, Western Australia
February 2002**

SRC Standard 6 - Outsourcing

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SRC Standard 6 - Outsourcing

DEFINITIONS

Contractor – is the person or persons with whom the State organization has entered into a contract or arrangement whereby the person or persons are to perform any function for the organization.

Control – means the responsibility for keeping a record but does not include the responsibility for creating it.

Custody – means the responsibility for the care of State records usually based on their physical possession. Custody does not include legal ownership, or the right to control access to the records.

Government organization – is an organization listed in Schedule 1 or Schedule 3 of the State Records Act 2000.

Government record – is a record created or received by a government organization or a government organization employee or contractor in the course of the work for the organization.

Outsourcing – is the transfer of responsibility for a service or function conducted by the State organization to an external service provider.

Ownership – means the legal, physical and intellectual property rights over State records. The records may not be in the custody of a State organization but they remain the property of the State.

Parliamentary department – is a department that is deemed to have been constituted in relation to the administration of Parliament for the purposes of the *Financial Administration and Audit Act 1985* by regulations made under Section 3(2) of that Act.

Parliamentary record – is a record created or received by a parliamentary department or a person in the course of their work for the department, whether the person is employed under a contract of service or is engaged under a contract for services or otherwise.

State archive – is a State record that is to be retained permanently.

State organization – is a parliamentary department or a government organization.

State record – is a parliamentary record or a government record.

SRC Standard 6 - Outsourcing

PURPOSE

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 organizations with persons to perform any aspect of recordkeeping for the organization.

BACKGROUND

The State Records Act 2000 is an Act to provide for the keeping of State records and for related purposes. Section 61(1) of the Act requires that the State Records Commission is to establish principles and standards for record keeping.

It is of the utmost importance that the integrity of State records be maintained and that proper procedures ensuring correct capture, management and maintenance are put in place at the time that any contract or agreement is entered into. Such contracts or agreements may involve contracting an individual or an organization to act as the State organization's agent to deliver services to clients, or for the State organization's own use.

Contracts should provide that the contractor create records that meet the organization's accountability requirements, in relation to the functions performed or services provided for the organization. Such contracts should also provide that the contractor maintain those records according to standards acceptable to the organization, for as long as the records are required and return them to the organization when the contract expires.

SCOPE

The principles and minimum compliance requirements in this Standard apply to all State organizations as defined in Section 3 of the State Records Act 2000.

Contracts and agreements must be developed in accordance with government guidelines supplied by the State Supply Commission and the Department of Industry and Technology.

SRC Standard 6 - Outsourcing

Principle 1 –Planning

State organizations ensure that the keeping of State records is in accordance with legislative requirements.

Rationale

The process of engaging a contractor to deliver services to clients or to provide support services to the organization is usually achieved through a contract or binding service agreement. These contracts and agreements can generally cover areas such as service levels, performance benchmarks, costs and penalties. Records, which enable compliance measurement to be undertaken, must also be included.

It may be legally difficult to re-acquire records when needed for administrative purposes or litigation if access to records is not included in the contract or agreement.

Accordingly, State organizations must ensure that access to State records is considered in the planning process and included in the contract or agreement established for outsourcing.

Minimum Compliance Requirements

The contract or agreement must provide evidence to adduce that:

1. Specific recordkeeping requirements in any enabling legislation relating to the organization are analysed, documented and accommodated within the contract or agreement.
2. If the contracting out is taking place as a result of specific legislation and there are specific provisions relating to recordkeeping, these provisions are considered when developing the contract or agreement. In other instances, recordkeeping provisions may not be specifically mentioned within the legislation but may be intended to be covered within the scope of the term “assets”.
3. The records and their owners are identified.
4. The organization and the contractor are bound by the State Records Act 2000 and any Principles and Standards developed in accordance with the Act.
5. The disposal of the records is in accordance with Western Australian legislation.
6. Unlimited access to the records is provided for the organization and access provisions are specified to the contractor.

SRC Standard 6 - Outsourcing

7. Records custody provisions are defined, both within the contracting body and the State organization.
8. Control and ownership of the records are established for the duration of the contract and following completion of the contract or agreement.

SRC Standard 6 - Outsourcing

Principle 2 –Ownership

State organizations ensure that the ownership of State records is addressed and resolved during outsourcing exercises.

Rationale

Failure to clarify issues surrounding the legal ownership of records, and the information they contain, in outsourcing agreements and contracts can severely restrict the business capabilities of the contractor and expose the organization to considerable risks. The issue of ownership extends not only to records of the organization that may be acquired by the contractor but also to records created by the contractor during the life of the agreement or contract.

Minimum Compliance Requirements

The contract or agreement must provide evidence to adduce that:

1. Existing State records, for which custody is to be transferred to the contractor, are specified.
2. State records remaining the property of the State organization are specified.
3. Any records remaining the property of the contractor at the completion of the contract or agreement are specified.
4. Ownership of the intellectual property of the records is specified.
5. Any State records of the State organization that are excluded from the transfer of custody to the contractor are specified.
6. The legal ownership of records, or copies of those records, created by the contractor during the course of the contract or agreement is specified.
7. Any limitation imposed on the contractor for the use of State records, and disclosure of information contained therein, is specified.
8. All rights of the State organization regarding the use of records created by the contractor during the life of the contract or agreement, are specified.
9. State records are returned to the State organization upon completion of the contract or at any other time specified by the State organization.

Note: State organizations should be cognisant of the specifications relating to intellectual property outlined in Government Information and Technology Contracts (GITC) 3 Terms and Conditions.

SRC Standard 6 - Outsourcing

Principle 3 –Control

State organizations ensure that contractors comply with the recordkeeping controls determined by the recordkeeping plan of the organization.

Rationale

Even though a service or operation has been outsourced it is likely that the controlling organization will retain some degree of responsibility and control over the contractor and how it performs its business. This control will be best supported by the State organization ensuring proper and adequate records management practices are observed by the contractor.

To make this possible the State organization must require the contractor to create and manage records, whether manual or automated, effectively and efficiently in a manner specified by the organization. The organization may also require that the contractor follow particular government policies and standards that are binding upon the organization.

Minimum Compliance Requirements

The contract or agreement must provide evidence to adduce that:

1. Any records that must be created to enable the State organization and the contractor to fulfil their statutory and service obligations are stipulated.
2. The State organization ensures that the contractor is complying with any relevant State legislation with regard to creation and management of proper and adequate records relating to the business function, activity or operation being outsourced.
3. The State organization ensures that the contractor is complying with recordkeeping standards, policies, procedures and guidelines stipulated by the organization.
4. The State organization stipulates any technical standards needed to ensure the information created and managed by the contractor can integrate with other government or private service provider recordkeeping systems, as required.

SRC Standard 6 - Outsourcing

Principle 4 –Disposal

State organizations ensure that State records are disposed of in accordance with Western Australian legislation.

Rationale

State records transferred to the custody of the contractor and those State records received or created by the contractor during the term of the contract, remain the property of the State organization. They must be disposed of in accordance with an approved disposal authority. The State Records Commission, via the State Records Advisory Committee, is the authorising body for disposal authorities.

Further disposal issues are addressed under Principle 7 – Contract Completion.

Minimum Compliance Requirements

The contract or agreement must provide evidence to adduce that:

1. A Retention and Disposal Schedule covering the records of the outsourced function, both those State records transferred to the custody of the contractor and those State records received or created by the contractor during the term of the contract, will be developed and submitted to the State Records Commission for approval.
2. All State records included in the terms of the contract are returned to the organization, in accessible format, before or at the conclusion of the contract, for disposal in accordance with the approved Retention and Disposal Schedule.

SRC Standard 6 - Outsourcing

Principle 5 –Access

Agreement is reached between the State organization and the contractor concerning the provision of access to State records.

Rationale

State records are retained not only for their administrative use, but also as an information resource for non government access. This access is established in the State Records Act 2000, Freedom of Information legislation and other instruments.

This dual access role of State records is easy to establish and maintain whilst the records remain in the custody of the government. It is vital therefore, that organizations ensure that when they are considering outsourcing, issues of access to State records held by the contractor are written into the contract. Failure to do so will make it extremely difficult for the organization to inspect and validate the service delivery being performed for it by the contractor, and Government accountability through its recordkeeping systems may be compromised.

Minimum Compliance Requirements

The contract or agreement must provide evidence to adduce that:

1. Agreement is reached between the State organization and the contractor concerning access by the organization to State records held by the contractor.
2. Agreement is reached between the State organization and the contractor concerning public access to State records held by the contractor.
3. Agreement is reached between the State organization and the contractor concerning any State records held by the contractor, to which access by the public is restricted.
4. Agreement is reached between the State organization and the contractor upon State records, held by the organization, to which the contractor requires access.
5. The State organization shall ensure that public access to State records held by the contractor, is no less than was previously available when the records were in the custody of the State organization.
6. The State organization ensures that the access rules established under the agreement are enforced equitably and consistently.

SRC Standard 6 - Outsourcing

Principle 6 –Custody

State organizations ensure that the custody of State records is addressed and resolved as part of the outsourcing arrangements.

Rationale

The custodial arrangements for State records are well established and have been designed to fulfil the requirements of the State Records Act 2000, and other instruments where these exist. It is important that these gains are not lost when an agency is outsourcing a function, activity or operation.

Poor, or no, decisions over the custodial arrangement for State records will result in the loss of records of evidential value, the integrity of collections of records being lost and unnecessary duplication and waste of effort will follow. Organizations must ensure that when they are outsourcing they include custodial arrangements in the agreements and contracts that are entered into with contractors.

It is also vital that organizations ensure that these agreements and contracts include arrangements for the custody of records at the end of the agreement or contract.

Minimum Compliance Requirements

The contract or agreement must provide evidence to adduce that:

1. Custody agreements are reached between the organization and the contractor for State records stored off site by the contractor.
2. Custody agreements are reached between the organization and the contractor for records stored on site by the contractor.
3. The organization ensures that custody agreements it enters into with contractors, as indicated in 1 and 2 above, cover the following:
 - Environmental requirements, i.e. temperature and relative humidity levels within the areas where the records are stored;
 - Security and safety systems that operate over areas in which the records are stored;
 - The records storage container requirements;
 - The degree and detail of documentation of records held in the records storage area; and
 - The record arrangement requirements for records held in the records storage area.
4. The State Records Office is informed of the location of State records of the organization held outside the custody of that authority.

SRC Standard 6 - Outsourcing

Principle 7 –Contract Completion

State organizations ensure that State records are returned upon the completion of contracts.

Rationale

Just as organizations must ensure that the initial stages of a contract are well regulated and specified, they must also ensure that the completion, and post completion, stages of a contract are well regulated, monitored and specified. Failure to do so will result in lost information, increased risk of exposure to legal liabilities and wasted time and money.

It is unlikely that a contractor will wish to devote time and effort to the State records of an activity or function which it is no longer performing for the government, unless there is an established contractual requirement for them to do so.

It is equally important that these processes are planned to be initiated in advance of the completion of the contract. Where records are boxed, listed or transported in a hurry the risk of material of continuing value being lost or accidentally destroyed increases exponentially. An orderly end of contract or agreement process will result in good records management and fewer wasted resources, both by the contractor and the organization. It will also substantially reduce both the organization's and the contractor's exposure to risk.

See also Principle 4 – Disposal

Minimum Compliance Requirements

The contract or agreement must provide evidence to adduce that:

1. The organization ensures that record custody issues, upon completion of the contract or agreement, are contained in the contract or agreement.
2. The organization ensures that record ownership issues, upon completion of the contract or agreement, are contained in the contract or agreement.
3. The organization ensures that record disposal issues, upon completion of the contract or agreement, are contained in the contract or agreement.
4. The organization ensures that record transfer issues, upon completion of the contract or agreement, are contained in the contract or agreement.

SRC Standard 6 - Outsourcing

5. The organization ensures that the contract or agreement includes any restrictions on the contractor using information from records for commercial profit or for unauthorised purposes, upon completion of the project, that the organization feels are required.
6. The organization ensures that the contract or agreement contains provisions for the orderly transfer of records when one contractor is replaced by another performing an outsourced function.
7. The organization ensures that the contract or agreement includes sufficient lead time for record issues to be addressed during the final stages of a contract or agreement.
8. The organization ensures that the recordkeeping issues at the completion stages of an outsourcing contract or agreement are well monitored and reported on at the request of the State Records Commission.
9. Those records identified by the State organization as State records be returned to the State organization.

SRC Standard 6 - Outsourcing

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STATE RECORDS COMMISSION

SRC Standard 7

STATE ARCHIVES RETAINED BY GOVERNMENT ORGANIZATIONS

**A Recordkeeping Standard for
Government Organizations**

**State Records Commission of WA
Perth, Western Australia**

June 2016

SRC Standard 7 – State Archives Retained by Government Organizations

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SRC Standard 7 – State Archives Retained by Government Organizations

PURPOSE

The purpose of this Standard, established under section 61(1) of the *State Records Act 2000*, is to provide for a government organization to retain a State archive beyond the compulsory transfer period, and to ensure the safe storage, preservation, handling and access to a State archive retained by a government organization with State Records Commission approval.

This Standard supersedes *SRC Standard 5: Compulsory Transfer of Archives, 2002* and *SRC Standard 7: Storage of State Archives retained by State Organizations through an approved Recordkeeping Plan, 2008*.

BACKGROUND

Under section 32(1) of the *State Records Act 2000*, a government organization must transfer a State archive that is under its control to the State archives collection when it becomes twenty-five (25) years old, unless the organization's Recordkeeping Plan says otherwise.

If an organization needs to retain custody of a State archive beyond the compulsory transfer period, the organization must apply and obtain approval, via its Recordkeeping Plan, from the State Records Commission. In order to approve such custodial arrangements, the State Records Commission must be assured that the archive will be maintained in appropriate conditions and will remain accessible in accordance with the relevant provisions of the *State Records Act 2000*.

Archives in digital formats and some analogue (physical) formats (particularly audio-visual) have retention periods greater than one generation of technology. These items must be preserved and remain accessible for use either using open standard, non-proprietary formats, or using equipment and software able to access the formats. The minimum compliance requirements outlined in this Standard aim to ensure that government organizations implement controls and practices that will support the proper management of State archives that remain in their custody.

NOTE: An organization may request to transfer a State archive to the State archives collection at any time before it becomes 25 years old. If the Director of State Records is unable to accept the transfer, the Director will advise accordingly.

SCOPE

The principles and minimum compliance requirements in this Standard apply to all government organizations as defined in the *State Records Act 2000*.

This Standard does not apply to government records that are not State archives.

SRC Standard 7 – State Archives Retained by Government Organizations

DEFINITIONS

Refer to the *Glossary of Terms* produced by the State Records Office of Western Australia available on the State Records Office website.

Principle 1 – Application to Retain State Archives

Government organizations are to apply to retain a State archive beyond the compulsory transfer period of 25 years.

Rationale

In general, records have a currency or administrative use of 7 to 10 years. Some records may carry a business use of 20 years or more. If records are designated as State archives, the Act requires they are to be transferred to the State archives collection when they are 25 years old to be kept in perpetuity.

A government organization may determine that it has a business need to retain a State archive for official purposes and that the State archive should not be transferred to the State archives collection.

In applying to retain a State archive beyond the compulsory transfer period, the State Records Commission is to be apprised of the organization's reasons for keeping the State archive and provided with assurance that the State archive will be properly kept and accessible.

The decision to retain a State archive beyond the compulsory transfer period is to be reviewed every five years as part of the review of the organization's Recordkeeping Plan.

Minimum Compliance Requirements

The government organization's Recordkeeping Plan must provide evidence to adduce that the State archive that is not to be transferred:

1. Is required by the organization for ongoing official purposes beyond the compulsory transfer period (i.e. the justification for non-transfer).
2. Is identified in an approved Disposal Authority.
3. Will be kept in accordance with Principles 2 to 7 in this Standard.

Principle 2 – Environmental Conditions

Government organizations ensure that State archives are stored in environmental conditions appropriate to their format.

Rationale

State archives are to be stored in areas or facilities that are suitable for archival storage in accordance with international and national standards. State archives require storage in controlled conditions to ensure their continued usability.

Details of minimum requirements for environmental conditions for the storage of archives can be found in the *Archival Storage Specification* produced by the State Records Office, available on the State Records Office website.

Minimum Compliance Requirements

Government organizations must ensure that:

1. All premises and facilities used for the storage of State archives maintain environmental conditions that meet those described in the *Archival Storage Specification*.
2. The location of storage areas and storage facilities supports the preservation of State archives; minimizes risks; and enables timely and efficient retrieval.

Principle 3 – Storage Mechanisms

Government organizations ensure that State archives are stored appropriate to their format.

Rationale

State archives must be stored on shelving, in enclosures and on media that contributes to their ongoing preservation and accessibility.

Organizations must ensure that any digital State archives are stored on media appropriate for long-term viability. Technology dependent media must be subject to regular integrity checks to ensure the information remains intact and usable. Technology dependent media must be monitored and periodically refreshed to prevent data loss through media degradation and format obsolescence.

Details of minimum requirements for storage used for archives in a variety of formats can be found in the *Archival Storage Specification* produced by the State Records Office.

Minimum Compliance Requirements

Government organizations must ensure that:

1. Storage used for State archives is in compliance with those described for each format type in the *Archival Storage Specification*.
2. Technology dependent media is of a format that remains usable by the government organization.

Principle 4 – Security and Disaster Management

Government organizations ensure that State archives are safeguarded and secure.

Rationale

State archives are to be stored securely, with steps taken to manage any potential threat to their security, including appropriate authentication controls for access. State archives must be protected from intentional or unintentional damage, unauthorized tampering, or alteration. Organizations must take special care to ensure their information systems are secure, reliable and capable of maintaining information that is acceptable for business, legal, audit and other purposes.

Minimum Compliance Requirements

Government organizations must ensure that:

1. Protocols are in place that determine who within the organization has responsibility for managing authorized access to its State archives.
2. A disaster management plan is in place, as per the requirements of *SRC Standard 2: Recordkeeping Plans*, Principle 4 - Preservation.
3. Procedures are in place to identify and respond to incidents which have the potential to cause damage or attempted security breaches of storage areas and of systems that manage and store archives.
4. Access to archives is secured and auditable.
5. Copies or backups of archives held for disaster recovery purposes are secured to the same level as the originals.

SRC Standard 7 – State Archives Retained by Government Organizations

Principle 5 – Access

Government organizations ensure that State archives are accessible.

Rationale

Under Part 6 of the *State Records Act 2000*, the public has a right of access to State archives not in the State archives collection, in accordance with the stipulations of the Act. Any right that a person may have to be given access to a restricted access archive is to be determined under the *Freedom of Information Act 1992*.

Organizations must be able to locate and retrieve State archives when required for access. Computer systems and technology dependent media which hold archives must be available for authorized access, including the ability to run an application on appropriate hardware and operating systems for the purpose of accessing information held in State archives.

Suitable services must be made available for the secure and protected access to archives within the organization.

Minimum Compliance Requirements

Government organizations must ensure that:

- 1 Policies and procedures are in place that enable the provision of public access to State archives of the organization in accordance with section 45 of the *State Records Act 2000*.
- 2 The public has access to information that identifies State archives in the custody of the organization, subject to any written law or conditions that have been outlined in the organization's Recordkeeping Plan.

SRC Standard 7 – State Archives Retained by Government Organizations

Principle 6 – Control

Government organizations ensure that State archives are controlled.

Rationale

An organization with custody of State archives must have a control system to help manage, locate, retrieve, describe and make accessible the State archives that it holds.

Information about the State archives in the custody of organizations must be able to be quantified and this information preserved.

Minimum Compliance Requirements

Government organizations must ensure that:

1. State archives are registered in a system to identify and provide control of such information.

Principle 7 – Preservation

Government organizations ensure that State archives are preserved for the long term and ensure that both analogue and digital formats remain usable.

Rationale

State archives require preservation actions to ensure they remain usable for the long term. Organizations must ensure that they take appropriate actions, whether passive or active, to preserve these items.

Incorrect handling of State archives may degrade or destroy the integrity of an archive. For the purpose of ensuring safe custody and protecting the condition of a State archive, organizations are to institute appropriate handling protocols. Where appropriate, archives may be reproduced for access purposes to assist in maintaining the originals in good condition.

Archives have a life greater than one generation of technology. Therefore, information must be preserved and remain usable by migrating or rendering to current file formats, or to open standard, non-proprietary formats, whenever applications are upgraded or a new format comes into more common use.

In conducting migration activities, it is the responsibility of the organization to define the essential characteristics of digital records that must not change as a result of migration processes. Organizations must also conduct testing to check that content and essential characteristics of digital records are not compromised by migration processes.

Any organization undertaking a technology upgrade, or adopting new or updated business systems, must ensure that the migration of information into the new system is undertaken so that the information is usable.

Minimum Compliance Requirements

Government organizations must ensure that:

1. State archives in digital format are stored in an appropriate file format.
2. Systems planning, design and implementation includes the provision for conversion or migration of the previous (or legacy) systems data.
3. Strategies and procedures for the preservation and usability of digital information are developed, implemented and reviewed at regular intervals and staff are aware of and trained in these processes.
4. Protocols are in place for the handling of State archives that encourage proper handling practices.

SRC Standard 7 – State Archives Retained by Government Organizations

5. Cleaning and repair of State archives which are fragile or show signs of degradation is only carried out in consultation with the State Records Office.
6. The process for digitization of State archives does not damage the original items.

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STATE RECORDS COMMISSION

SRC Standard 8

MANAGING DIGITAL INFORMATION

A Recordkeeping Standard for State Organizations

**State Records Commission of WA
Perth, Western Australia
June 2016**

SRC Standard 8 – Managing Digital Information

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SRC Standard 8 – Managing Digital Information

PURPOSE

The purpose of this Standard, established under section 61 of the *State Records Act 2000*, is to describe requirements that must be satisfied in Recordkeeping Plans for State organizations to demonstrate good practice digital recordkeeping. It is not the intention of this document to prescribe that State organizations must move to digital recordkeeping, but to provide Principles for those that do keep information in a digital format.

This Standard supersedes *SRC Standard 8: Digital Recordkeeping, 2008*.

BACKGROUND

State organizations create many state records and information in digital format. Managing digital information differs from managing physical information. At the lowest level, digital information is made up of binary encoded data that requires software to reveal its contents. Digital information is stored on a variety of digital media that is easily damaged and may be prone to obsolescence. Consequently, the storage of digital information both in terms of storage media and the file formats in which they are kept, must be managed with methods to ensure that the information is available and sufficient to meet accountability, business and archival requirements. In managing digital information, State organizations must also comply with the *State Records Act 2000*.

Digital information is any digitally produced or stored record of information within the meaning of section 3 of the *State Records Act 2000* and must be captured as evidence of business activity and stored into recordkeeping systems along with metadata that describes their content, structure and context. These requirements are set out in *SRC Standard 1: Government Recordkeeping* and *SRC Standard 2: Recordkeeping Plans*. Digital information must be managed to remain usable for as long as it is required. Access to digital information is regulated through legislation such as the *State Records Act 2000* and *Freedom of Information Act 1992*. Close attention to security mechanisms is essential to prevent unauthorized access or tampering with digital information. State organizations must plan for the recovery of lost data in the event of a disaster – loss of digital information can be crippling to the reconstruction of business activity.

Given the rapid obsolescence of technology, organizations should plan the preservation of digital information according to its required period of retention. Digital information that is to be retained on a long term basis by a State organization, or is to be transferred to the State archives collection, requires active and ongoing preservation to ensure its usability.

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Digital information identified as State archives must be kept in a software file format and on media that is both viable and usable until it is transferred into the State archives collection.

Digital information of temporary value must be destroyed securely in accordance with an approved disposal authority and in such a way that it cannot be reconstructed.

SCOPE

The principles and minimum compliance requirements in this Standard apply to all State organizations as defined in the *State Records Act 2000*.

The Standard describes specific requirements for the good practice management of digital information that is either born digital or has been created as a consequence of the digitization of physical source records.

DEFINITIONS

Refer to the *Glossary of Terms* produced by the State Records Office of Western Australia available on the State Records Office website.

SRC Standard 8 – Managing Digital Information

Principle 1 – Managing Digital Information

State organizations ensure that all digital information is managed appropriately.

Rationale

Digital information includes all types of business information created and maintained electronically. This may include (but is not limited to): email, web sites, databases, application systems, word processed documents, spreadsheets, social media and digital reproductions of physical records. State organizations should develop policies, procedures and business solutions for capturing this information and managing it for as long as it is required in corporate recordkeeping compliant systems.

Minimum Compliance Requirements

State organizations must ensure that:

1. All matters relating to the management of digital information are contained within their Recordkeeping Plans.
2. In developing policies, procedures and solutions for the management of digital information, reference is made to relevant State Records Commission Standards and Guidelines produced by the State Records Office.

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Principle 2 – Appraisal, Retention and Disposal of Digital Information

State organizations ensure that digital information is appraised and its retention and disposal is managed in accordance with approved disposal authorities.

Rationale

Digital information created by State organizations during the course of business is a State record for the purposes of the *State Records Act 2000*. Digital information must therefore be appraised in accordance with *SRC Standard 3: Appraisal of Records*, Principle 1 - Appraisal; and its retention and disposal managed in accordance with *SRC Standard 2: Recordkeeping Plans*, Principle 5 - Retention and Disposal.

Digital information needs to be kept until it is no longer required for any purpose. There are three general reasons information needs to be kept, namely:

- to support the efficient conduct of business;
- to meet the requirements of legislation and accountability; and
- to meet the expectations of the community.

State organizations should prepare strategies for efficient digital preservation solutions in accordance with Principle 4 – Storing Digital Information. Digital information that has been identified as State archives must be held in software file formats with the appropriate metadata and on media that is both viable and usable until such time as it is transferred to the State archives collection.

Minimum Compliance Requirements

State organizations must ensure that:

1. Digital information is appraised in accordance with *SRC Standard 3: Appraisal of Records*, Principle 1 - Appraisal.
2. The retention and disposal of digital information is managed in accordance with *SRC Standard 2: Recordkeeping Plans*, Principle 5 - Retention and Disposal.
3. Destruction of digital information is authorized and conducted using appropriately secure methods of destruction, ensuring the information cannot be reconstructed.

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Principle 3 – Security of Digital Information

State organizations ensure that effective security and authentication controls exist to ensure digital information is safe from intentional or unintentional damage and unauthorized tampering or alteration.

Rationale

Adequate security is essential for all State records. When implementing information systems, State organizations must take special care to ensure they are secure, reliable and capable of producing records that are acceptable for business, legal, audit and other purposes.

The nature of digital information can make it susceptible to alteration or deletion, whether intentionally or unintentionally. Alterations to digital information can be virtually undetectable, undermining its evidential value as a record. Digital information is easily copied and the taking of copies can be undetectable, potentially leading to unauthorized access to confidential and personally or commercially sensitive data. Information Security and Computer Security are both equally important in planning for secure digital information stores and application systems. Security controls should be in place at all levels, including physical, network, operating system and application level, for production and development systems as well as backup data.

State organizations must recognize that data stored offshore is potentially beyond the control of the State government, and must undertake appropriate risk assessments of the data before selecting storage or data centres, whether onshore or offshore. State organizations must also ensure that data stored with an outsourced provider meets the requirements of *SRC Standard 6: Outsourcing*.

Minimum Compliance Requirements

State organizations must ensure that:

1. Information systems are protected to best practice security standards.
2. Procedures are in place to identify and respond to incidents or attempted security breaches of systems that create or store digital information.
3. Systems and protocols are in place to prevent unauthorized access to, or alteration of, digital information and ensure its authenticity.
4. Procedures ensure that security and authentication mechanisms such as encryption and digital rights management (DRM) do not inadvertently make digital information inaccessible in the long term.
5. Access to digital information is secured and auditable.

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6. A risk assessment is undertaken before storing information or application systems offsite or offshore.

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Principle 4 – Storing Digital Information

State organizations ensure that digital information is stored on appropriate media to ensure its ongoing usability.

Rationale

Digital information is vulnerable to loss, destruction, unauthorized copying and modification. To ensure the ongoing protection of digital information, State organizations require efficient and effective means of maintaining, handling, securing, and storing digital information over time. Policies, procedures and effective mechanisms for the storage of digital information should be an integral component of an organization's recordkeeping framework. Recordkeeping Plans should contain recovery and restoration procedures for digital information in compliance with *SRC Standard 2: Recordkeeping Plans*, Principle 4 – Preservation.

The storage arrangements for digital information, and the media type on which it is stored, should depend on risk assessments of the information and business requirements. To ensure the integrity, reliability and usability of information, policy and procedures are required for the:

- Selection of storage media and devices;
- Storage locations and conditions;
- Security;
- Refreshment of media;
- Migration of data; and
- Integrity checks.

Where information is held in an archive file format, organizations must ensure that these formats as well as the media they are stored on are able to be read for as long as the record or data is required to be held.

NB: Backups are suitable for disaster recovery but are not a viable long term storage solution.

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Minimum Compliance Requirements

State organizations must ensure that:

1. Digital information is stored on appropriate and durable media to ensure the information remains usable for as long as required.
2. Digital storage devices are subjected to regular integrity checks and periodically refreshed to prevent data loss through media degradation or obsolescence.
3. Backup or 'IT archive' file formats remain usable for as long as required.
4. Risk assessments are conducted on information and data prior to the selection of storage locations.

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Principle 5 - Digitization

State organizations ensure that digitized information is as authentic, reliable and usable as the source material from which it is created.

Rationale

Digitization is the creation of a digital reproduction or likeness of an analogue file (printed paper, photograph, audio tape, etc). Whether a digital reproduction can stand in place of source material as proof of a business transaction, or as evidence, depends upon its authenticity, integrity, reliability and usability.

If a reproduction is intended to serve the same purpose as the source material, then the reproduction will need to be as usable, authentic and as reliable as the original. Reproductions are subject to the same requirements as any other digital information and therefore a State organization must have sufficient confidence in its digitization procedures to certify the authenticity of the reproductions. Where the digital reproductions need to be kept for the long term, they must be preserved in the file formats identified in the *Digitization Specification* produced by the State Records Office. The conditions for the process of creating digital reproductions of documents which involves the destruction of the source record are outlined in the *General Disposal Authority for Source Records*.

Where destruction of the source material is contemplated, State organizations must ensure that a risk assessment has been performed identifying risks and risk minimization strategies and that this risk assessment has been included in their Recordkeeping Plans.

Minimum Compliance Requirements

State organizations must ensure that:

1. Any digitization which involves the destruction of source records is undertaken within the framework of the *General Disposal Authority for Source Records*.
2. Policy and procedures comprehensively describe digitization, security and quality assurance practices.

SRC Standard 8 – Managing Digital Information

RELATED DOCUMENTS

Standards Australia Limited and Standards New Zealand, *Australian/New Zealand Standard AS/NZS ISO 16175 Information and documentation - Principles and functional requirements for records in electronic office environments*. Standards Australia Limited, Sydney; Standards New Zealand, Wellington, 2012.

**For further information regarding this Standard please contact
State Records Office of WA
ph: 9427 3600
email: sro@sro.wa.gov.au**

Main Administration Buildings

Region	Address	Location	Ownership	Annual Rent
Art Gallery of WA - Administration Building	Reserve 37000, Perth Cultural Centre 4 Roe Street Perth	Perth	Public	nil
Alexander Library -Main	Reserve 37000, Perth Cultural Centre 4 Roe Street Perth	Perth	Public	nil
State Theatre Centre	Reserve 37000, Perth Cultural Centre 4 Roe Street Perth	Perth	Public	nil
Old Maritime Museum (Shipwreck Galleries) Slipway, cranes etc.	Cliff Street	Fremantle	Public	nil
Maritime Museum	Slip Road	Fremantle	Public	nil
A Shed	Slip Road	Fremantle	Public	nil
WA Museum - Collections Research Centre	49 Kew Street	Welshpool	Public	nil
Subiaco Arts Centre	Hammersley Road	Subiaco	Public	nil
His Majesty's Theatre	825 Hay Street	Perth	Public	nil
New Geraldton Museum	Museum Place	Geraldton	Public	nil
Albany Entertainment Centre	2 Toll Place	Albany	Public	nil
The Residency	2 Parade Street	Albany	Public	nil
Museum - Main Building and Staff Room	13 - 17 Hannan Street	Kalgoorlie	Public	nil
Gordon Stephenson House	140 William Street	Perth	Private	\$3,466,008.00

Regional Offices for Sport and Recreation

Region	Address	Location	Ownership	Annual Rent
Metropolitan	246 Vincent Street	Leederville	Local Government - City of Vincent	\$590,267.00
Kimberley	23 Coghlan Street	Broome	Private	\$54,721.00
	20 Coolibah Drive	Kununurra	Local Government - Shire of Wyndham - East Kimberley	\$5,000.00
Pilbara	Karratha Liesureplex Dampier Highway	Karratha	Local Government - City of Karratha	\$35,004.00
Gascoyne	5 Francis Street	Carnarvon	Private	\$28,150.00
Mid West	268 Foreshore Drive	Geraldton	Private	\$116,408.00
Goldfields	349 Hannan Street	Kalgoorlie	Private	\$65,641.00
Wheatbelt	298 Fitzgerald Street	Northam	Local Government - Shire of Northam	\$38,963.00
	YMCA Narrogin Regional Leisure Complex	Narrogin	Private	\$4,940.00
South West Peel	16 Dolphin Drive	Mandurah	Private	\$48,156.00
	80A Blair Street	Bunbury	Private	\$55,190.00
Great Southern	22 Collie Street	Albany	Private	\$42,400.00

Additional information

Sport and Recreation also operates five recreation camps;

Bickley Outdoor Recreation Camp	Hardinge Road Orange Grove WA 6109
Ern Halliday Recreation Camp	Whitfords Avenue Hillarys WA 6025
Point Walter Recreation Camp and Conference Centre	1 Stock Road Bicton WA 6157
Woodman Point Recreation Camp	74 O'Kane Court Coogee WA 6166
Camp Quaranup	743 Quaranup Road Vancouver Peninsula Albany 6330

Operating licenses exist at;

Bickley Camp, through licensee Water Corporation
Point Walter, through licensee City of Melville
License fee of \$7,500pa plus CPI is paid for Bickley Cmap to the licensee
Note: This fee encompasses the entire site.