



STATE RECORDS COMMISSION OF WESTERN AUSTRALIA

MINUTES OF MEETING HELD ON 2 OCTOBER 2009 AT THE CITY OF MANDURAH

PRESENT:

Mr Colin Murphy (CHAIR)	Auditor General
Mr Sven Bluemmel	Information Commissioner
Mr Chris Field	Parliamentary Commissioner for Administrative Investigations
Ms Cathrin Cassarchis (Executive Officer)	Director of State Records
Ms Isabel Smith (Executive Secretary)	Manager of State Recordkeeping
Mr Leigh Hays	Manager of Archives Control & Access

MINUTES:

Mr Martin Fordham	Recordkeeping Consultant
-------------------	--------------------------

1. **Welcome and Apologies**

The Chair opened the meeting at 9.35.

Ms Justine McDermott, Governor's Appointee, was noted as an apology.

The Manager of State Recordkeeping (Mgr:SR) apprised the State Records Commission (the Commission) of the arrangements for the day, including media statements and opportunities, arrangements, attendees and apologies for the informal lunch.

2. **Declaration of conflicts of interest**

Nil

3. **Notices of urgent business**

Nil

4. **SRC MINUTES OF 22 JUNE 2009**

4.1 **Confirmation and Sign-off of Official Minutes**

The minutes were **CONFIRMED** and signed by the Chair.

4.2 **Confirmation of Published Minutes**

The Commission **APPROVED** the minutes for publication to the website.

4.3 **SRC Action List**

The Commission noted the Action List. The Director of State Records (the Director) advised that the status for the briefing to Minister Buswell, regarding the State Records Office's (SRO) willingness to assist with input to the National Online and Communication Council, was incorrect and should read 'Pending' rather than completed.

5. MATTERS ARISING

5.1 Office of Native Title – consultation under section 76 of the *State Records Act 2000*

The Mgr: SR advised that a meeting was held with representatives of the Office of Native Title (ONT) to present the Commission's and the SRO's view regarding consultation in accordance with section 76. ONT representatives agreed that it would be most practical to accept the Native Title Representative Bodies (NTRBs), which assist claimant groups and individuals with the lodgement of native title claims, as appropriate bodies for consultation purposes under section 76.

The ONT agreed to advise the NTRB's accordingly and, with SRO input, amend the existing ONT *Guideline for the Provision of Information in Support of Applications for a Determination of Native Title* to include more explicit statements regarding the retention, disposal and access to Connection Material. Once completed, forums will be conducted to inform the NTRB's and the SRO has agreed to assist with this process if necessary.

NOTED

5.2 Policy – Local Government Elected Members

The Director advised that the amended policy has been distributed to all local governments and is available on the SRO website. The Mgr: SR advised of local government interest in the SRO providing induction sessions to elected members regarding their recordkeeping responsibilities. Commissioner Bluemmel expressed an interest in partnering with the SRO to conduct sessions which include Freedom of Information elements. The Director agreed that joint information sessions should be considered and the SRO will liaise with the Office of the Information Commissioner accordingly.

NOTED

5.3 Government Employees Superannuation Board

Commissioners discussed recordkeeping concerns arising from the mutualisation of the Government Employees Superannuation Board and determined that whilst the Commission has no view on mutualisation as a concept, protection of the State's records is a high priority.

The Commission **REQUESTED** a letter to be drafted, advising the Under Treasurer of that view.

5.4 SRC Annual Report 2008/09

The Commission noted that the 2008-2009 Annual Report was tabled in both houses of Parliament on 22 September 2009. The Chair thanked the SRO and in particular, Mr Tom Reynolds, for preparing the report.

With regard to recalcitrant agencies, the Chair emphasised the importance of the SRO following due processes, with good communication and prompt management of critical issues so that agencies are fully aware of the consequences of non compliance well before the Report is in the drafting phase. In preparation of all future Annual Reports, the Commission **REQUESTED** the submission of a paper,

before June each year, which outlines approximately four key issues and other messages to be reported so that adequate discussion and consideration can be given to the content of Reports. The Director agreed.

6. MONITORING THE OPERATION OF AND COMPLIANCE WITH THE ACT

6.1 Organizational Changes

6.1.1 Register - Government Organizations – Administrative Change

The Commission **NOTED** the register with updated information .

6.1.2 Register - Defunct Government Organizations

The Commission **NOTED** the register.

6.2 Inquiring into Breaches or Possible Breaches

6.2.1 Breach Register

The Commission **NOTED** the register updating current inquiries.

6.2.2 Alleged Breaches

Nil.

6.3 State Records Commission - Risk Management

Nil.

7. COMPLIANCE MONITORING – RECORDKEEPING PLANS

7.1 Compliance Monitoring – Local government organizations – Phase 2 – Part 1

The Mgr:SR advised that Part 1 of the second phase of compliance monitoring is underway. The survey, aligned to the 6 Principles of SRC Standard 2, has been revised and simplified and focuses on “Licence” records managed under the *Caravan Parks and Camping Grounds Act 1995* and the associated Regulations. In this phase, twenty (20) local government authorities, which did not respond to the previous survey, have been targeted.

NOTED

8. LEGISLATION REVIEW ISSUES

8.1 SRO input into new legislation

Nil

9. APPROVAL OF RECORDKEEPING PLANS

9.1 State Records Advisory Committee (SRAC)

9.1.1 SRAC Minutes – 19 August 2009

The Commission **NOTED** the SRAC minutes of 19 August 2009.

9.1.2 SRAC Membership - Appointments

The Commission **APPROVED** the recommend appointment to the SRAC.

The Director advised that a proposal will be submitted to the next meeting outlining a program for the development of General Disposal Authorities for various 'Sectors' across government. Introduction of this program may require review of processes associated with the SRAC. **NOTED**

9.2 Retention and Disposal Schedules for APPROVAL

9.2.1 RD 2009015 – Construction Industry Long Service Payments Board

The Commission **APPROVED** the fully revised Schedule.

9.2.2 RD 2008045 – Main Roads Western Australia

The Commission **APPROVED** the fully revised Schedule.

9.2.3 RD 2009021 – Western Power

The Commission **APPROVED** the fully revised Schedule and the time expired restricted access period.

9.2.4 RD 2009003 – Government Employees Superannuation Board

The Commission **APPROVED** the fully revised Schedule and the time expired restricted access period.

9.2.5 RD 2008061 – University of Western Australia

The Commission **APPROVED** the fully revised Schedule and the time expired restricted access periods **excluding** the 50 year restriction for the records of *Strategic Financial Planning Committees*. These records will be restricted for 25 years.

9.2.6 Reviewed RD 2004051 – Coal Miners Welfare Board

The Commission **APPROVED** the continuation of the Schedule.

9.2.7 Reviewed RD 2004124 – Kalgoorlie-Boulder Cemetery Board

The Commission **APPROVED** the continuation of the Schedule.

9.3 Disposal Lists for APPROVAL

Nil

9.4 Outstanding Restricted Access Matters

Nil

9.5 Transfer of State Archives

9.5.1 Requests to Retain State Archives

Nil

9.5.2 Requests to Transfer State Archives to the Custody of the State Records Office

The Commission **NOTED** the transfer request from the Fairview Primary School.

9.6 Recordkeeping Plans for APPROVAL

9.6.1 Amended RKP 2009002 – Pilbara Development Commission

The Commission **APPROVED** the amended Plan.

9.6.2 Amended RKP 2009032 – Disability Services Commission

The Commission **APPROVED** the amended Plan.

9.6.3 Amended RKP 2009051 – Shire of Kalamunda

The Commission **APPROVED** the amended Plan.

9.6.4 Amended RKP 2008017 – Shire of Exmouth

The Commission **APPROVED** the amended Plan.

9.6.5 Amended RKP 2008039 – Shire of Cue

The Commission **APPROVED** the amended Plan.

9.6.6 Amended RKP 2008043 – Office of the Inspector of Custodial Services

The Commission **APPROVED** the amended Plan.

9.6.7 Amended RKP 2008067 – Shire of Yilgarn

The Commission **APPROVED** the amended Plan.

9.6.8 Amended RKP 2008073 – Department of Mines and Petroleum

The Commission **APPROVED** the amended Plan.

9.6.9 Amended RKP 2009016 – Shire of Victoria Plains

The Commission **APPROVED** the amended Plan.

9.6.10 Amended RKP 2007042 – Shire of Carnarvon

The Commission **APPROVED** the amended Plan.

9.6.11 Amended RKP 2009024 – City of Canning

The Commission **APPROVED** the amended Plan.

9.6.12 Amended RKP 2009036 – Workcover

The Commission **APPROVED** the amended Plan.

9.6.13 Amended RKP 2009017 – Economic Regulation Authority

The Commission **APPROVED** the amended Plan.

9.6.14 Amended RKP 2009043 – City of Melville

The Commission **APPROVED** the amended Plan.

9.6.15 Amended RKP 2009047 – Shire of Katanning

The Commission **APPROVED** the amended Plan.

9.6.16 Amended RKP 2009031 – Department of Commerce

The Commission **APPROVED** the amended Plan.

9.6.17 Amended RKP 2008049 – Department of Indigenous Affairs
The Commission **APPROVED** the amended Plan.

9.6.18 Reviewed RKP 2004066/1 – Shire of Serpentine Jarrahdale
The Commission **APPROVED** the continuation of the Plan.

9.6.19 Reviewed RKP 2004105/1 0 – Shire of Pingelly
The Commission **APPROVED** the continuation of the Plan.

9.6.20 Reviewed RKP 2004003/1 – Kalgoorlie-Boulder Cemetery Board
The Commission **APPROVED** the continuation of the Plan.

9.7 Recordkeeping Plans CLEARED Pending Approval of the Retention and Disposal Schedule

9.7.1 RKP 2009022 – Edith Cowan University Student Guild
CLEARED

9.7.2 RKP 2009025 – Public Sector Commission
CLEARED

9.8 Recordkeeping Plan Reports – Reports on Reviews

9.8.1 RKP 2004084/1 – Shire of Three Springs – Review Report
NOTED

9.8.2 RKP 2003035/1 – Pharmaceutical Council of WA – Review Report
NOTED

9.8.3 RKP 2003067/1 – WA Sports Centre Trust – Review Report
NOTED

9.8.4 RKP 2004042/1 – Coal Miners Welfare Board – Review Report
NOTED

9.8.5 RKP 2004219/1 – Geraldton Port Authority – Review Report
NOTED

9.8.6 RKP 2004161/1 – City of Subiaco – Review Report
NOTED (*Note: RKP number corrected following the meeting*)

9.9 Progress Report – Recordkeeping Plan and Retention and Disposal Schedule Reviews

Nil.

9.10 Department of Health – Six Monthly Implementation Report

The Mgr: SR advised that the report, due on 1 October 2009, from the Department of Health (the Department) is yet to be received, expressing concern about the Department's progress against planned implementations.

Further text excluded for reasons of confidentiality.

However, the SRO is keen to see progress in areas which are not dependent upon an EDRMS eg. policies, procedures and thesaurus development etc.

NOTED

(Note: submission date of 1 November 2009 corrected directly following the meeting)

10. DIGITAL RECORDS INITIATIVE (DRI)

10.1 Digital Records Working Group (DRWG) Report

The Director advised that the SRO proposes that the DRWG be dissolved on the basis that it has not met for 12 months and members had not responded to invitations to provide input to Guidelines or participate in the Digital Archive pilot project. The Director considers that there may be more value in convening specific working groups on a needs basis rather than continuing with the DRWG.

The Chair queried the general state of e-government in Western Australia. Commissioner Bluemmel advised that, notwithstanding progress in policy development, there appears to be little momentum or drive on the ground. However, in terms of records management, electronic records should not be considered separately from other records formats, so mainstreaming electronic records management is desirable and accessing the necessary expertise when needed, such as the Chief Information Officer working group, should be sufficient. Commissioner Bluemmel suggested that the SRO liaise with Ms Celia Chesney, State Chief Information Officer, on a regular basis. The Director agreed.

The Commission **APPROVED** the dissolution of the DRWG.

The Director advised that the penultimate paragraph of this paper should have been removed since the government's request for the reduction in the numbers of committees across government does not apply to committees of the Commission. **NOTED**

10.2 Digital Records Initiative (DRI) Progress Report

The Mgr: ACA advised that a report on the Digital Archive Pilot project is being prepared. The Pilot project has revealed that agencies have had difficulty in transferring digital archives into a digital archive system. Work is to commence to further develop systems to enable agencies to export consignments with greater ease.

The Mgr: ACA also commented on a range of enhancements implemented on BOS/AEON which have improved functionality and accessibility.

The Director advised that there are a number of conferences and meetings relating to digital records and recordkeeping trends that the SRO is unable to attend due to lack of resources. The Chair suggested that the Commission be informed of those activities the SRO cannot participate in due to lack the resources.

The Commission **NOTED** the progress of the initiatives.

11. ESTABLISHING STANDARDS AND GUIDELINES

11.1 SRC Standards

The Mgr: SR advised that two General Disposal Authorities (GDAs) remain well overdue for review and this was noted in the Commission's annual report. As mentioned earlier, a paper will be submitted to the next Commission meeting outlining the options for the introduction of a progressive program to develop GDAs for use throughout government.

NOTED

11.1.1 Proposed SRC Standard 9 – Information Security

The Director advised that there is a much reduced need for this Standard and proposed that it be removed from the register of standards to be developed.

Commissioner Bluemmel enquired whether there is a gap between the government policy requirement for information security and the availability of actual instructions and directions for government agencies to utilise, and to that extent, whether there is a need for this type of standard. The Mgr: ACA stated that the need had largely been addressed by a range of other guidelines along with the availability of the Commonwealth Information Security Manual. Commissioner Bluemmel suggested that the Mgr: ACA liaise with the Public Sector Commission (PSC) regarding its release of a secure government strategy and offered to provide a contact.

The Director identified the need for a comprehensive needs analysis to be conducted for proposed SRC Standards prior to proposals being submitted to the Commission in future.

The Commission **APPROVED** the removal of SRC Standard 9 from the SRO's work schedule and **REQUESTED** that the SRO liaise with the PSC as outlined.

11.2 Guidelines

The Commission **NOTED** the register of Guidelines.

12. ITEMS FOR INFORMATION

12.1 State Records Office Operational Activities

The Director commented on the liaison with the East Perth Redevelopment Authority regarding discussions and proposals for the redevelopment and revitalisation of the Perth Cultural Centre.

The Commission **NOTED** the report.

12.2 State Records Commission Activities

Nil

13. PUBLIC PROGRAMS AND OUTREACH ACTIVITIES

13.1 Public Programs and Outreach Activities

The Director spoke to the paper and reminded Commissioners of the Geoffrey Bolton Lecture, to be held on 10 November at the Government House Ballroom.

The Commission **NOTED** the update.

14. DIRECTOR'S REPORT

14.1 Director's Report

The Director summarised the report of activities and updated the Commission on progress with the SRO's formal intellectual separation of collections from the State Library of WA.

With regard to the business case for archival storage, the Commission queried whether value could be derived from surveying agencies located in the CBD to establish the monetary value of primary office space being used for the storage of archives. The Director & the Mgr: ACA agreed that there could be value in such a survey.

The Commission **NOTED** the Director's report.

15. MANDURAH MEETING ARRANGEMENTS

15.1 **Media Notes** – tabled at item 1 on commencement of the meeting.

15.2 **List of Attendees** – tabled at item 1 on commencement of the meeting.

15.3 **List of Apologies** – tabled at item 1 on commencement of the meeting.

16. NEW BUSINESS

16.1 Strategic Issues

The Chair suggested that it is timely to review the Commission's Vision Statement with a view to developing a Strategic Plan relevant to the direction of the Commission and its operating environment for the next five years.

The Director **AGREED** to arrange a half day planning session for February 2010.

16.2 SRC 2010 Regional Meeting

Commissioner Field suggested that the Commission's 2010 regional meeting be aligned to coincide with one of the State Ombudsman's Regional Outreach Forums held in country centres – possibly Albany or Broome. Joint arrangements of this nature would have the potential to save considerable travel costs for the SRO and respective Commissioner's agencies.

Commissioner Field **AGREED** to liaise with the SRO to provide a schedule of travel dates and regional locations.

The meeting closed at 12.00 noon in time for Commissioners to welcome invited guests from government organizations and local media representatives, in and around Mandurah, to an informal networking lunch.

NEXT MEETING – Friday 4 December 2009 – Alexander Library Board Room
**followed by lunch with SRO staff and members of the
State Records Advisory Committee.**

SIGNED.....

DATED.....

Mr Colin Murphy
State Records Commission