

# State Records Commission

## Annual Report 2012/2013

<p>patch from letter address increase in the of the reply</p>	<p>by section 33 of any Reserve shall in trust for the like deemed expedient</p>	<p>shall consti ; me be pre the first el e shall be</p>	<pre>"ie7 ielt9 ielt10 "ie8 ielt9 ielt10 "ie9 ielt10 en"&gt;&lt;! ang="en" class=" e assets- undle.620b14dc.css ": false, "wfe": f "sw": false, "rpl , "id": "10:10000" de:function(a){}}; =window.Pc.expns;P FO=null;P.ROUTES=[ tFacebookKey=funct rings=function(a){ s=function(a){P.RO }; on(a){P.PAGE_LOAD_ acks=[];this.avail )this.queuedCallb able=new wport:function(a,b tElement.clientWid f(!a.getBoundingCl m-e.top;return 0&lt;e e.left&lt;c+b&amp;&amp;e.righ ImageLoad:function gViewport(a)&amp;&amp;(b+=</pre>
<p>atch from respondence of 50 gall w from M Council a al flock w</p>	<p>ire of Wongan of "Parkland cellency the Govern hereby direct that ire of Wongan</p>	<p>the Excell and consent exercise o print and co ora Malcolm DOTM APP</p>	
<p>ing Deeds rge Munro ry Maxwell n Clement hn Poell</p>	<p>aforsaid, subject of the Boar ILD, DOUGL HILLAR, aid Board u</p>		



# Contents

---

<b>2</b>	<b>Chairperson’s foreword</b>
<b>4</b>	<b>Introduction</b>
<b>5</b>	<b>Highlights 2012 – 2013</b>
<b>6</b>	<b>Significant issues</b>
<b>8</b>	<b>About us</b>
<b>9</b>	<b>What we do</b>
<b>10</b>	<b>Our operating environment</b>
<b>11</b>	<b>Our clients</b>
<b>12</b>	<b>Our relationship with the State Records Office</b>
<b>13</b>	<b>Future focus</b>
<b>14</b>	<b>Key performance areas</b>
<b>22</b>	<b>Committees of the Commission</b>
<b>24</b>	<b>Compliance Report</b>
<b>29</b>	<b>Compliance with SRC Standard 2, Principle 6</b>
<b>30</b>	<b>Spreading the message</b>
<b>31</b>	<b>How to contact the State Records Commission</b>
<b>32</b>	<b>Appendix 1</b>
<b>33</b>	<b>Appendix 2</b>
<b>34</b>	<b>Appendix 3</b>
<b>35</b>	<b>Acronyms and terms used in this report</b>
<b>36</b>	<b>Public sector accountability framework diagram</b>

# Chairperson's foreword



*The State Records Commission. L to R: Chris Field, Colin Murphy (Chair), Justine McDermott and Sven Bluemmel*

**The Commission is aware of the need for a comprehensive solution for the appropriate storage and reuse of the Government's information assets**

I am pleased to present the State Records Commission's 12th annual report.

Last year the Commission reported on responses by the State Records Office (SRO) to the need to develop new tools and systems to manage record keeping across Government more holistically; in order to assist State and Local Government agencies to manage their records; and facilitate the legal disposal of those records more consistently and effectively. This year I can report on further efficiencies: the expansion of the Sector Disposal Authority program; the introduction across Government of the Online Retention and Disposal Application (ORDA); and the development of the General Disposal Authority for Government Records (GDAGR).

The Sector Disposal Authority program has proved a highly successful aid to groups of like agencies. Similarly, as the ORDA initiative is progressively rolled out to Government, agencies are reporting on the ease and convenience of this program to assist them with the development of Disposal Authorities. The GDAGR amalgamates existing general disposal authorities for human resource management records, financial and accounting records and administrative records and significantly updates the latter to improve usability as well as include more of the types of records commonly created by State Government agencies. Consolidating

---

all existing general disposal authorities into the GDAGR will make its use throughout Government and future updating of this authority a more efficient task.

The Commission is aware of its statutory obligation to monitor agency compliance with the *State Records Act 2000* (the Act) and investigate suspected breaches of the Act. To some extent, this is achieved by self-evaluation undertaken by Government agencies, as well as investigations into suspected breaches as they become known. However, the Commission is of the view that a complementary compliance monitoring regime is necessary to foster public confidence that State records are being created, managed and utilised to best meet each agency's business imperatives, support the business of Government and the needs of the community. Whilst the SRO has developed a methodology for a comprehensive monitoring regime, resourcing limitations have delayed implementation.

The Commission is aware of the need for a comprehensive solution for the appropriate storage and reuse of the Government's information assets. The lack of adequate, specialised archival accommodation for the State's archives remains a matter of ongoing concern to me and my fellow Commissioners. Without adequate and appropriate storage facilities for the State's archives, agencies are required to bear costs and administrative

---

burdens. More importantly, while this situation continues, we cannot be assured that the State's archives are adequately preserved and protected.

I wish to thank my fellow Commissioners for their support during the 12th year of the Commission's operations. We are grateful to Cathrin Cassarchis, State Archivist and Executive Director State Records, and her staff, for supporting the Commission this year. The Commission also acknowledges the contribution of senior management and record keeping staff in Government organisations to the ongoing implementation of the Act.

Colin Murphy  
Chairperson, State Records Commission  
September 2013



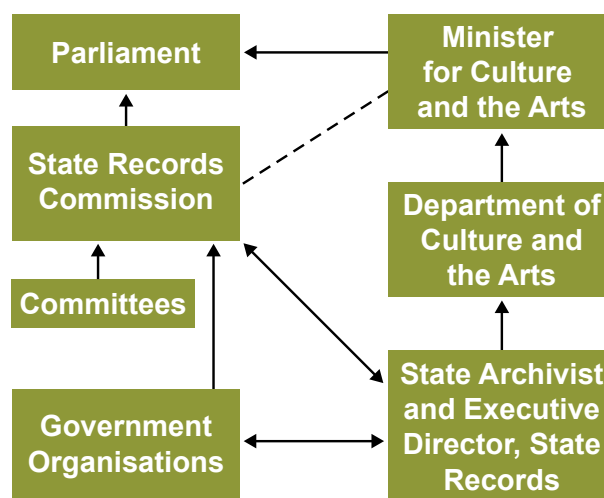
# Introduction

This Annual Report is submitted to Parliament in accordance with the obligations of the State Records Commission (the Commission) under section 64(1) of the section 64(1) of the *State Records Act 2000* (the Act).

The Report outlines the activities of the Commission during 2012–13 and comments on matters that pertain to the operations of the State Records Office (SRO).

Note: The Commission is not an accountable agency with respect to the requirements of the *Financial Management Act 2006*.

FIGURE 1. Representation of the Commission's role in the reporting framework established by the Act.



# Highlights 2012 – 2013

---

## Compliance Reporting Award

This year's Commission Award, for *Excellence in Reporting by State Government Organisations on Compliance with their Record Keeping Plans*, was presented to the Economic Regulation Authority at the Lonnie Awards presentation ceremony on 1 March 2013. A special commendation was also awarded to the Department of Mines and Petroleum.

---

## Margaret Medcalf Award

This Commission sponsored award recognises excellence in referencing and research by the author(s) of a published work, where they have acknowledged use of the State archives collection. This year two joint winners (Ruth Morgan and Ann Hunter) were presented with the award by Commissioner Murphy on 19 June 2013.

---

## General Disposal Authority for Government Records

In June 2013 the SRO released for stakeholder comment an exposure draft of a new General Disposal Authority for Government Records, along with supporting documentation to assist with its implementation across Government. Once it is finalised State agencies will refer to one rather than three general disposal authorities when sentencing their corporate records for disposal. The implementation of this Authority will significantly reduce records storage and management costs throughout Government as time expired information may be legally destroyed.



*Margaret Medcalf Award: L-R Professor Andrea Gaynor on behalf of Ruth Morgan (winner), Margaret Medcalf OAM, Colin Murphy (Chair, State Records Commission), Dr Ann Hunter (winner), Cathrin Cassarchis (State Archivist, judge), Justine McDermott (State Records Commission, judge)*  
Photographer: Bohdan Warchomij

# Significant issues

---

**The Commission is of the view that a complementary compliance monitoring regime is needed and should be implemented when resourcing constraints permit.**

---

In carrying out its statutory obligations the Commission is mindful that the Government record keeping community expects it to provide leadership in anticipating policy changes within Government and the latter's effect on how records are created and managed.

During the first 10 years of the Act, the Commission's primary objective was to ensure all State organisations had approved Record Keeping Plans and Retention and Disposal Schedules, these record keeping tools remain subject to ongoing cyclical reviews. Now that individual agencies have Record Keeping Plans and Retention and Disposal Schedules in place, the Commission and the SRO have looked to initiatives that offer efficiencies and economies and promote a more strategic and whole of Government approach.

The Commission welcomes the development by SRO of information management systems that can be shared across Government, such as the Online Records Disposal Application, the General Disposal Authority for Government Records and Sector Disposal Authorities.

---

## Compliance Monitoring

Section 60 of the Act requires the Commission to monitor the “operation of and compliance” with the Act.

Monitoring is largely achieved by self-evaluation undertaken by Government agencies as well as investigations into suspected breaches of the Act.

The Commission is of the view that a complementary compliance monitoring regime is needed and should be implemented when resourcing constraints permit.

---

## Personal Properties Securities Act

The *Personal Property Securities Act 2009* (PPSA) took effect in Western Australia on 30 January 2012. This Commonwealth legislation establishes a nationally uniform set of rules for the registration and enforcement of security interests in personal property. The PPSA changes the way security is held over personal property, and creates the concept of a ‘security interest’ requiring the registration of interest to protect the ownership of property under lease or contract to a third party.

The Commission has a vested interest in how the PPSA may be applied to Government contracts with commercial storage providers and whether the lack of a registered security interest is likely to present a loss of title to Government property.



# About us

---

The Commission was established in July 2001, in accordance with Part 8 of the Act. The Commission consists of four members: the Auditor General; the Information Commissioner; the Parliamentary Commissioner for Administrative Investigations (Ombudsman); and an appointee with record keeping experience from outside Government. The Governor appoints the fourth Commissioner for a three-year term.

---

## During 2012 – 13 the Commissioners were:

### **Mr Colin Murphy**

Auditor General and Chair of the Commission

### **Mr Chris Field**

Parliamentary Commissioner for Administrative Investigations

### **Mr Sven Bluemmel**

Information Commissioner

### **Ms Justine McDermott**

Governor's Appointee to the Commission

The Commissioners' personal profiles can be viewed on the SRO website at [www.sro.wa.gov.au](http://www.sro.wa.gov.au)

# What we do

---

## The Commission's functions are set out in Part 8 of the Act and include:

- approving Government organisations' record keeping plans;
- approving the legal disposal of Government records;
- monitoring the operation of and compliance with the Act;
- monitoring compliance by Government organisations with their respective record keeping plans;
- inquiring into breaches, or possible breaches, of the Act;
- establishing principles and standards for the governance of record keeping by State organisations; and
- determining the access status of certain State archives.

---

The Commission held three formal meetings in 2012/13:

30 August hosted by the Pilbara Education Regional Office in Karratha

7 December in Perth

31 May in Perth

The minutes of each meeting may be viewed on the SRO's website at [www.sro.wa.gov.au](http://www.sro.wa.gov.au)

# Our operating environment

---

**The Commission's approach is to establish a framework that gives effect to the Act, placing a primary responsibility on Government organisations**

In performing its functions the Commission is responsible for ensuring, as far as possible, a standard of record keeping is maintained in over 300 Government agencies and statutory organisations (including 140 local authorities) that best serves the interests of the people of Western Australia.

Altogether these agencies employ well over 100,000 people who produce records relevant to business activities in a variety of formats, including conventional paper files, microfilm, cartographic plans, photographs, audio recordings and digital records.

Technical advice and administrative support is provided to the Commission by the State Archivist and the staff of the SRO.

The Commission's approach is to establish a framework that gives effect to the Act, placing a primary responsibility on Government organisations, with support from the SRO, to comply with effective record keeping requirements.

# Our clients

---

## The Commission's clients consist of:

- State Parliament;
- Western Australian public sector agencies;
- Government trading enterprises;
- Local Government authorities and elected members;
- a range of statutory offices, including the Governor's Establishment, Ministerial offices, Commissions and Committees of Inquiry; and
- the people of Western Australia, who are able to access records in the State archives collection and ultimately benefit from the principles and standards by which State archives are selected.

# Our relationship with the State Records Office

---

Part 9 of the Act establishes the entity called the State Records Office and prescribes the functions and role of the head of the SRO. In addition to other functions under the Act, the State Archivist is the Commission's Executive Officer, providing advice and support to the Commission and, along with the Deputy Director of State Record Keeping, form the Executive Secretariat to the Commission. These positions host and support the Commission's meetings, functions and activities, providing advice as necessary with the State Archivist reporting to the Commission on matters relating to the operation of the Act.

A cornerstone compliance requirement of the Act is the mandate for each Government organisation to produce a Record Keeping Plan (RKP).

The RKP must;

- identify all records created and received by the organisation;
- explain how those records are managed in the context of the organisation's functions;
- specify a retention period for each class of record; and
- describe the management, security, and disposal procedures for all recorded information.

Draft RKPs are submitted by Government organisations to the State Archivist for evaluation by SRO staff, before the RKPs are submitted to the Commission for approval.

The State Archivist and staff provide advice, assistance and training to Government organisations concerning the management of Government information in all formats.

In addition, the SRO provides Government and the community with information about, and public access to, archives held in the State archives collection. The Commission approves the SRO's Archives Keeping Plan (AKP), under section 40 of the Act, which sets out how State archives are to be kept by the State Archivist. For those State archives awaiting transfer to the SRO, the State Archivist issues directions as to how they are to be kept by government organisations. The status of State archives is further supported by the requirement for the State Archivist to create and maintain a register of all State archives, including those not in the State archives collection. The State Archivist must report to the Commission on the operation and effectiveness of the Act.

# Future focus

---

The Commission continues to report to Parliament on progress and achievements against the requirements of the Act, including those to ensure:

- (a) State record keeping is of a standard that best serves the interests of the people of WA; and
- (b) subject to the law, Government records are accessible to the public.

The Commission contributes to the strategic planning processes of the SRO and in this context, supports the SRO's priorities in the following areas:

## **Empowering Government to achieve good record keeping**

During 2012–13 the SRO implemented the Online Records Disposal Application across 20 agencies and developed the General Disposal Authority for Government Records. Both record keeping initiatives will establish greater efficiencies in Government.

## **Ensuring State archives are preserved and well managed**

The SRO has been unable to accept transfers of State archives since 2001. Securing a purpose built State Archive (incorporating a Digital Archive) remains a priority for the SRO and the Commission.

---

## **Enabling appropriate access to the State archives**

During 2012–13 the SRO commenced development of a new collection management system utilising AtoM: Access to Memory, a web based open source software for archival description. This new system should be implemented in late 2013 and will replace the SRO's BOS/AEON archives management and access system.

# Key performance areas

---

The following outlines activities carried out by the Commission during 2012–13 in meeting the requirements of the Act.

## 1. Government record keeping

### Evaluation and approval of Record Keeping Plans

Under section 61 of the Act the Commission must establish principles and standards for the governance of record keeping by State organisations; and guidelines for the compilation of RKPs by those organisations. An RKP describes an agency's record keeping systems, disposal arrangements, policies and practices. The RKP indicates whether records are to be retained permanently as State archives and when these records are to be transferred to the State archives collection. It also contains recommendations about records that are to be treated as restricted access archives.

Under the Act, all Government organisations are required to submit RKPs for approval by the Commission. As part of a continuous cyclical process, an RKP must be reviewed within five years of its approval date (or last review), and a report of the review submitted to the Commission. This year 44 agencies were required to review their RKPs.

During 2012–13 the Commission approved 47 new or amended RKPs and the continuation

of five RKPs requiring no amendment (see Figure 2).

Appendix 1 of this Report identifies the status of those RKPs due for review or submission to the State Archivist during 2012–13.

Appendix 2 identifies the status of those RKPs due for review in 2013–14.

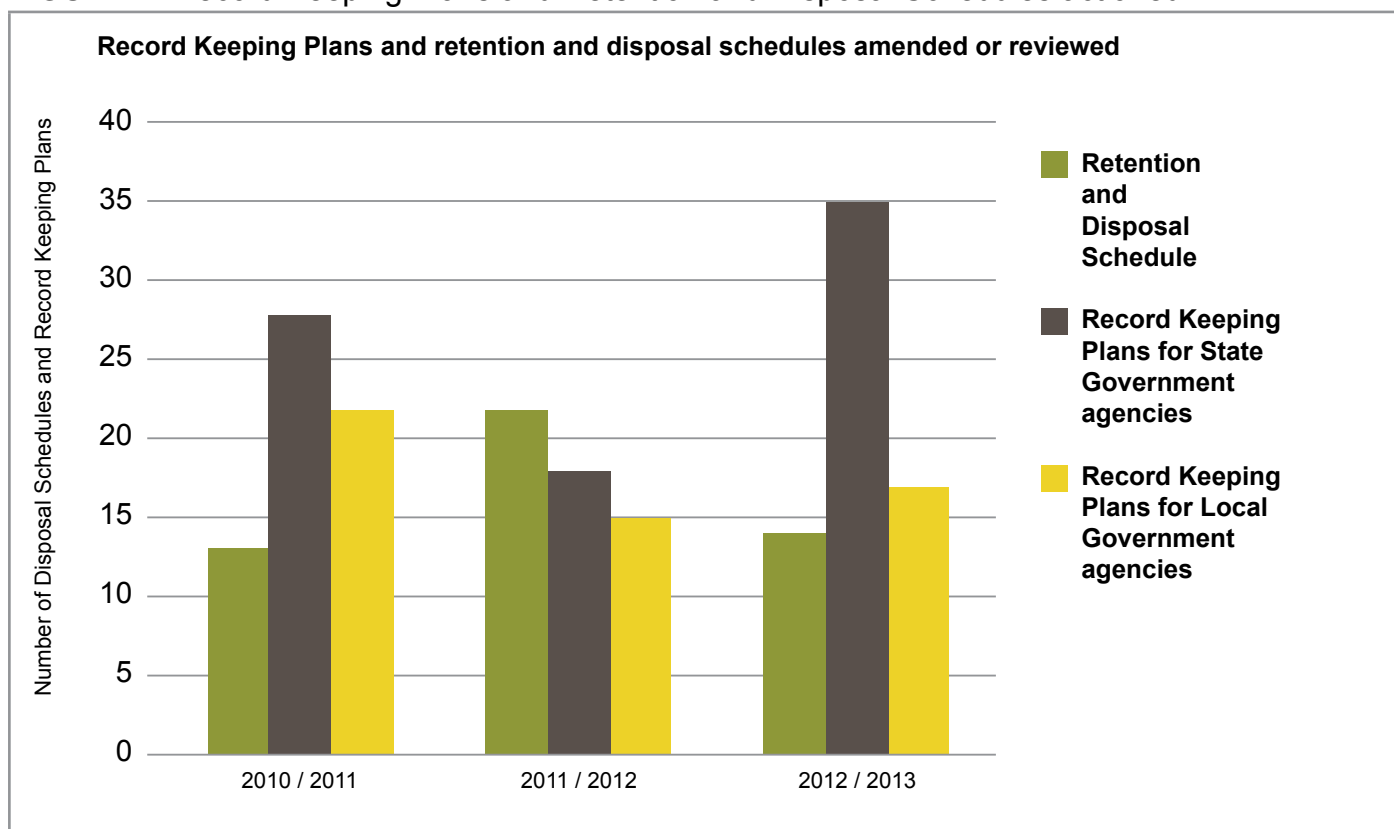
Appendix 3 identifies new organisations required to submit RKPs during 2012–13.

### Retention and Disposal Schedules

The disposal plan for an organisation's records is commonly referred to as a Retention and Disposal Schedule (R&D). This document is an integral part of an organisation's RKP. Unless the disposal of records is covered by a General Disposal Authority or Sector Disposal Authority developed by the SRO, State Government organisations are required to develop R&Ds that are unique to their particular functional activities. RKPs can only be approved by the Commission once the R&D has been given final approval.

Following advice from the SRO and the State Records Advisory Committee (see page 19), the Commission approved 20 R&Ds during 2012–13 (see Figure 2).

FIGURE 2. Record Keeping Plans and Retention and Disposal Schedules actioned.



## Online Retention & Disposal Application (ORDA)

The Commission reported in 2011-12 that the SRO introduced the Online Retention and Disposal Application (ORDA) for Government agency use. ORDA is a web-based system that enables Government agency staff, and records consultants working with agencies, to draft and submit disposal authorities to the SRO securely online. The system integrates all processes associated with the SRO's management of disposal authorities (e.g. registration, tracking, reviewing, reporting) and marks a shift away from submission of

disposal authorities to the SRO in hardcopy.

ORDA aims to streamline processes while facilitating the use of disposal authority information in ways not easily achieved via the hardcopy approach, such as allowing Government agencies to search existing precedents through the system. As a long-term objective, disposal authority data in the system will assist other business processes such as prioritising archive transfers.

During 2012–13 the SRO deployed ORDA to over 20 Government agencies as they prepared new disposal authorities. The SRO is transitioning its processes so all future disposal authorities will be prepared through ORDA.



---

ORDA was developed in partnership with the Australasian Digital Records Initiative (a working group established by the Council of Australasian Archives and Records Authorities) and the SRO has agreed to share this software with other Council members. At present, two other Government archive authorities have expressed interest in deploying the system in their jurisdiction.

## Sector Disposal Authority Program

The program involved the development of a range of Sector Disposal Authorities (SDAs) for large sectors within State Government. The SDAs, developed by the SRO and approved by the Commission, will be used by all relevant agencies to enhance the legal, consistent and efficient disposal of recorded information and contribute to effective business operations within Government. Eventually all the agencies within a sector (e.g. nine regional development commissions) will use just one SDA, rather than producing, implementing and amending their individual retention and disposal schedules; resulting in significant administrative savings across Government.

In August 2012 the Commission approved SDAs for three agency areas:

- University Student Guilds
- Cemetery Boards
- Port Authorities

These three SDAs, together with the SDA for Regional Development Commissions, and the WA Universities Sector Disposal Authority

(WAUSDA), service 34 agencies in total.

The Commission was pleased to note the WAUSDA received the 2012 *J Eddis Linton Award* for excellence in records and information management. The WA Universities Group was presented with the award at the RIM Professionals Australasia InForum, held in August 2012.

## General Disposal Authority Review Program

General Disposal Authorities (GDAs) are documents which specify how to dispose of particular series of records common to State and Local Government agencies. GDAs are continuing authorities for the legal disposal of records documenting the routine internal operations within Government organisations. Produced by the SRO, they provide consistent disposal decisions throughout the State and eliminate the necessity for each Government organisation to prepare individual disposal authorities for those records.

At present, the SRO publishes GDAs for Financial and Accounting Records; Human Resource Management Records; and Administrative Records of State Government agencies. Local Government organisations are catered for via the GDA for Local Government Records which provides for the legal disposal of functional and administrative records for the whole of Local Government.

All GDAs must be reviewed every five years in accordance with the Act.

---

## General Disposal Authority for Government Records

In 2012–13, the SRO prepared a new *General Disposal Authority for Government Records* (GDAGR) that provides broad coverage of common sets of records across Government. Once approved by the State Records Commission, the GDAGR will be used by all State Government agencies to dispose of records covered within the authority.

The GDAGR will update the current *General Disposal Authority for Administrative Records* and include additional categories of corporate records commonly created by Government organisations. In alignment with practices in other jurisdictions the GDAGR also incorporates record categories currently covered by the General Disposal Authorities for *Human Resources Records* and *Financial and Accounting Records*. Therefore once the GDAGR has received Commission approval all State organisations can refer to just one document rather than three general disposal authorities.

In April 2013, the SRO convened a working group of experienced records and information officers within State Government to review the GDAGR. An exposure draft of the Authority was published on the SRO website for further comment in June 2013, as part of a wider consultative practice. Once formally approved, the GDAGR will eliminate this significant body of work from the agenda of all State Government organisations.

---

## Monitoring Compliance under the State Records Act

The Commission is required under section 60(1) of the Act to monitor the operation of the Act and compliance by Government organisations with their RKPs.

In the absence of a complementary compliance monitoring regime, the Commission continues to rely on the RKP review cycle and the investigation of suspected breaches (see page 26), as the chief mechanisms for ensuring agency compliance with the Act.

During 2012–13, 44 Government organisations were required to complete an RKP review and report to the Commission. Four of these agencies reported no significant change in the status of their record keeping practices, whilst the remaining 40 agencies undertook to develop and submit amended RKPs.

## Record Keeping Training

The SRO delivered record keeping training to both State and Local Government agencies this year. In August 2012 training was delivered to 10 staff at the Department of the Attorney General and in October 2012 Councillors and shire staff attended training at the Shire of York. Both training days were tailored to address the record keeping practices of the respective agencies.

The SRO hosted a training course 'Introduction to Record Keeping Practices' in May 2013, which was attended by 15 State and Local

---

Government record keeping staff. The course was delivered in June 2013 at the Mid-West Regional Council office in Geraldton. Eleven representatives from eight regional and local authorities attended the Geraldton course.

## State Records Commission Award for Excellence in Compliance Reporting

The Institute of Public Administration Australia (IPAA) recognises excellence in annual reporting by the public sector through its W. S. Lonnie Awards. Since 2006, the State Records Commission has sponsored a specialist Lonnie Award which recognises excellence in reporting against the compliance requirements of SRC Standard 2, Principle 6 in Annual Reports.

The Annual Reports of all State Government organisations were considered for this Award, with an initial shortlist yielding the reports of 37 organisations. Those reports were evaluated further and reduced to a final shortlist of 18 reports for consideration by a judging panel of industry representatives and SRO officers. The judging panel evaluated the reports according to how well certain criteria had been addressed, including:

- the efficiency and effectiveness of the organisation's record keeping
- whether systems are evaluated, not less than once every five years;



*SRO training course conducted in May 2013.  
Image courtesy of the State Records Office*

- if the organisation conducts a record keeping training program;
- reviews of the efficiency and effectiveness of the record keeping training program; and
- whether the organisation's induction program addresses employees' roles and responsibilities in regard to their compliance with the organisation's RKP.

At the W.S. Lonnie Awards function on 1 March 2013, the State Records Commission Award for Excellence in Compliance Reporting was presented to the Economic Regulation Authority. The panel found the organisation clearly demonstrated a commitment to building a solid information culture in meeting the compliance requirements of the Act. The judging panel also commended the Department of Mines and Petroleum for a high standard of reporting.



*Pam Herbener (right), Economic Regulation Authority, accepts the Commission's Award for Excellence in Compliance reporting, from Cathrin Cassarchis, State Archivist and Executive Director State Records. (photograph courtesy of IPAA)*

## 2. Preservation and management of the State's archives

The Commission is concerned that since July 2001 the SRO has been unable to accept the transfer of archives from Government agencies into its custody due to a lack of specialised storage space. As a consequence approximately 50 linear kilometres of identified State archives are stored within Government agencies or amongst temporary records in commercial storage facilities that do not meet archival storage standards. The annual increase of State archives awaiting transfer to the SRO is estimated to be between 1.5 to 2 linear kilometres.

---

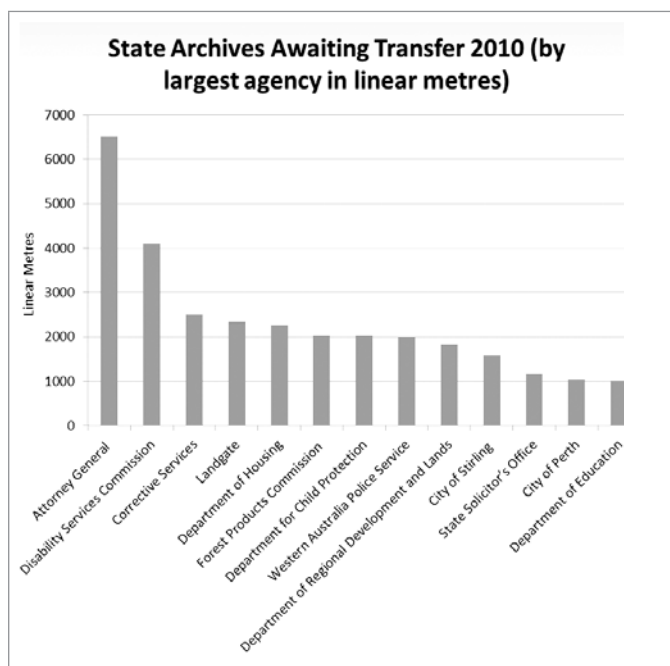
To add to the concern is the lack of a Digital Archive to facilitate an increasing proportion of records identified as State archives being created in digital format. Digital archives are being established in other Australian Government jurisdictions but WA is yet to meet the needs of Government in this area. As with State archives in physical format, the onus is on each Government agency to manage its digital archives. This is a difficult task given the fragile nature of electronic information.

The accumulation of State archives in agencies means vital information of personal, business and community importance remains inaccessible to other parts of Government and the general community. This need is recognised in the Strategic Asset Management Plan for the Department of Culture and the Arts, which was finalised in 2012. The Plan recommends an investment be made in the short term (1-4 years) for a new facility to accommodate the existing State archive collection and the backlog of material in agency custody as well as allow for future projected capacity. The Plan also identifies the need for recurrent resources to address and keep pace with digital information needs and support digitisation programs to allow online access to State archives for both Government and the community.

The SRO is aware of a number of State archives located within the State Library of Western Australia's (State Library) collection. These archives, from several government agencies, were not transferred to the State archives collection at the time of the establishment of the

State Records Office, as required by the *State Records (Consequential Provisions) Act 2000*, or were incorrectly transferred to the State Library in the early days of the SRO's establishment. The SRO is working with the State Library to resolve this matter.

Figure 3: Backlog of State archives awaiting transfer to the SRO.



Figures compiled from survey carried out in 2010.

## Accessibility to the State Archives

### Development of new Archives Management System

To meet archival access, management and preservation challenges the SRO requires a collection management system that is extensible; supported with local expertise; requires minimal financial input; and has the capacity to manage both hard copy formatted archives and born digital archives for the State.

Throughout 2012–13 the SRO commenced development of a new collection management system based on AtoM, 'Access to Memory': a web based open source software for archival description. It is an open source system, with the capacity to export and import data in a range of internationally accepted formats, and to interface with other descriptive systems. This is a significant development as SRO's current BOS/AEON archives management system and catalogue relies on a database and scripting software that is out of date and no longer supported by Microsoft, thus limiting the longevity of the system.

Once implemented, the AtoM system will have the capacity to manage the SRO's physical and born digital collection and provide clients with:

- improved capacity to search the State archives catalogue;
- enhanced access to digitised archives in the State archives collection; and

- 
- preliminary capability to accept and manage digital archives currently held by Government agencies.

## Margaret Medcalf Award

This award honours Margaret Medcalf, who served as State Archivist of Western Australia from 1974 to 1989. The award is given for excellence in research and referencing by a writer who has used the State archives collection. Ms Medcalf attended and participated in the award ceremony held on 19 June 2013.

This year there were two joint winners selected for works published or completed in 2012:

- Ruth Morgan, *Running out? An environmental history of climate and water in the southwest of Western Australia, 1829-2006*. PhD thesis for the University of Western Australia;
- Ann Hunter, *A different kind of 'subject': colonial law in Aboriginal-European relations in 19th century Western Australia, 1829-1861*. Book published by Australian Scholarly Publishing.

## Restricted access archives

Under Part 6 of the Act all State archives should be open access archives after 75 years, unless they contain exceptionally sensitive information or information about a person's medical condition or disability – in which case they may be restricted for up to 100 years.

Sections 37 and 38 of the Act require the Commission to rule on applications by

---

Government organisations to restrict access to certain State archives and set the age at which these records cease to be restricted, or open previously restricted archives. During 2012–13 the Commission approved applications submitted by the Department of Education and the WA Police Department to restrict access to identified files held in the State archives collection. These approvals were informed by precedents resulting from previous directions made by the Commission on restricted access records in the State archives collection and practices elsewhere in Australia.

A register of Commission directions on restricted access archives is available on the *Accessing Restricted Records* page of the SRO website.

# Committees of the Commission

---

Section 62(1) of the Act requires the Commission to establish a committee to assist the Commission with the selection of records to be kept as State archives, and propose retention periods for all other State records. Section 62(3) allows the Commission to establish other committees to assist it in the performance of its functions.

During the reporting year only one Committee was extant under section 62 of the Act: the State Records Advisory Committee, which examines retention and disposal recommendations prior to their referral to the Commission for approval. The SRO continues to lead and provide administrative support to this Committee.

---

## State Records Advisory Committee

The State Records Advisory Committee (the Committee) is established to provide advice regarding:

- State records that should be State archives;
- retention periods for those State records that are not to be State archives; and
- associated matters (as prescribed by the Commission).

The Committee meets regularly to consider the retention and disposal components of RKPs, a critical element of the comprehensive records management framework established by the Act. Recommendations are presented to the Commission following each Committee meeting.

The Committee met on 14 November 2012 and 20 February 2013.

The Committee includes representatives from the Public Service and bodies concerned with record keeping. Members and deputy members are appointed for three-year terms by the Commission.

---

## **Membership of the Committee as at 30 June 2013**

### **Chair of the Committee**

Ms Isabel Smith – Deputy Director of State Record Keeping

### **Executive Secretary**

Ms Joyce Steveni – Record Keeping Consultant, SRO

### **Department of Indigenous Affairs**

Ms Tanya Butler (Deputy: Ms Rebecca Bairnsfather-Scott)

### **Historical Interests representative**

Ms Jennie Carter

### **Law Society of Western Australia**

Mr Robert O'Connor QC (Deputy: Ms Anne Seghezzi)

### **Local Government Records Management Group**

Ms Julie Mathieson (Deputy: Ms Rita Edwards)

### **State Government CEO Representative**

Ms Cheryl Gwilliam

### **Minutes Secretary**

Ms Gillian Hodson – Administrative Assistant, SRO

---

## **Members of the Committee who retired during 2012–13 and the bodies represented:**

### **Australian Society of Archivists**

Dr Roberta Cowan (Member)

### **Local Government CEO Representative**

Ms Anne Banks McAlister (Member)

### **Records and Information Management Professionals Australasia**

Dr Kerry Smith (Member)

The Commission gratefully acknowledges the valuable contribution Committee representatives provide to the work of the Commission and in the identification of archival records to be kept for posterity.



# Compliance Report

## State Records Act 2000

---

Part 8 of the Act establishes the Commission. A compliance statement on the Commission's activities in 2012–13 is presented below.

### Part 3 Division 2

#### Section 20(2) – gazette orders prescribing timing for submission of organisations' record keeping plans

No orders were issued during 2012–13.

#### Section 23(1) – approve or refuse to approve record keeping plans

During 2012–13 the Commission approved 52 RKPs, comprising ten RKPs from new organisations; amendments to 37 existing RKPs; and the continuation of five RKPs requiring no amendment.

#### Section 23(2) – give reasons for refusal to approve record keeping plans

The Commission did not refuse to approve any RKPs submitted during 2012–13.

### Part 3 Division 3

#### Section 25 – Commission to have a plan

In accordance with section 25 of the Act, the Commission's RKP was reviewed in August 2012 and an amended RKP was approved by the Minister for Culture and the Arts in June 2013.

---

#### Section 26 – State Records Office to have a plan

In accordance with section 26 of the Act the SRO's RKP was reviewed in November 2012 and an amended RKP will be submitted to the Commission for approval by September 2013.

#### Section 27 – Schedule 3 organisations to have plans

No action was required with respect to the RKPs of the five Schedule 3 organisations during 2012–13.

### Part 3 Division 4

#### Section 28(3) – the Commission may require an agency to review its record keeping plan (discretionary)

The Commission required no discretionary reviews in 2012–13.

#### Section 28(5) – five yearly review of all record keeping plans

The record keeping plans of 44 organisations were due for review during 2012–13. All organisations complied with this requirement (see Appendix 1).

#### Section 29(1) – give directions as to intervals for periodic reporting on record keeping plans (discretionary)

No directions were given in 2012–13.

---

### Section 30(1) – give Parliament copies of reports received under section 29

No reports were referred to Parliament during 2012–13.

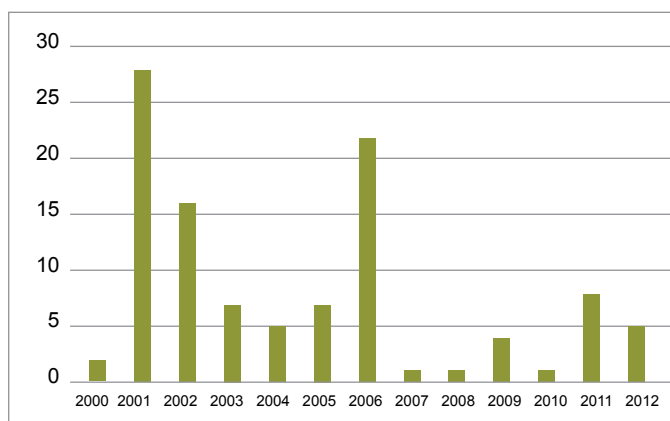
## Part 4

### Section 32 - State archives to be transferred to the State archives collection

The Commission is advised that the State Archivist received five formal requests from agencies to transfer archives at risk during the year. The State Archivist was unable to accept transfer and custody of archives from State organisations during 2012–13 as the State Archives have been at capacity since 2001.

Several queries were also received regarding proposed formats for the transfer of digital archives.

FIGURE 4. Table indicating requests to the State Archivist to transfer archives



---

## Part 5 Division 2

### Section 37(2)(b) – restricted access archives identified

In May 2013 the Commission approved an application to restrict access to identified files in a series of Department of Education records held in the State archives collection. The Commission also approved an increase in the restriction time period for a series of WA Police major crime files in the State archives collection.

### Section 37(5) – Review of archives restricted under 37(2)(b)

No action required in 2012–13.

### Section 38 – when archives cease to be restricted access archives

During 2012–13 no applications were submitted to State Archivist under this section.

## Part 5 Division 3

### Section 40(2) – approve or refuse to approve the archives keeping plan

At its December 2008 meeting the Commission approved the SRO's revised archives keeping plan. A further review is required by December 2013.

### Section 40(3) – give reasons for refusal to approve the archives keeping plan

Not required.

---

**Section 40(4) – direct time for resubmission of the archives keeping plan refused approval under section 40(3)**

Not required.

**Section 41 – archives keeping plan to be reviewed**

The Archives Keeping Plan will be reviewed by December 2013 and a report on the review submitted to the Commission by that date.

**Division 4**

**Section 43(3), (4) & (5) – deal with applications from the Director to destroy archives**

No applications were received from the State Archivist in 2012–13.

**Part 6**

**Section 48(1) & (2) – direct that a State archive is an “exceptionally sensitive archive” and set age of cessation (on application)**

No directions were given under this section in 2012–13.

**Section 48(4) – review direction given under section 48(1)**

No action required in 2012–13.

---

**Part 8 Division 1**

**Section 60(1)(a) – monitor the operation of and compliance with the Act**

In the absence of a complementary monitoring program, the RKP review cycle required under the Act formed the major compliance focus for the Commission during 2012–13.

**Section 60(1)(b) – monitor compliance by Government organisations with record keeping plans**

During 2012–13, all Government organisations, required to review their RKPs during this period, complied with the requirement. The SRO evaluated the reports and amended RKPs; analysing current reported practice against previous RKPs submitted and reported to the Commission.

**Section 60(1)(c) – inquire into breaches or possible breaches of this Act**

In meeting its obligation to inquire into breaches or possible breaches of the Act, the Commission and the SRO took the opportunity to address any avenues for improvement in agency record keeping identified during this process.

Breach Allegation	2012–13	2011-12	2010–11	2009–10
Opened	1	8	8	8
Resolved	3	12	2	5

---

## **1. Report on the investigation of alleged breaches of the Act, previously mentioned in the Commission's 2011-12 Report and resolved during 2012-13.**

In the reporting period 2011-12 the State Archivist was notified of three suspected breaches of the Act: the Department of the Attorney General – regarding a client file allegedly tampered with; Western Power – regarding inadequate recording of wood pole management; and the School Curriculum and Standards Authority – over the alleged unlawful destruction of exam results.

The Commission found that none of the agencies were in breach of the Act.

## **2. Continuing investigation of alleged breaches.**

In June 2012 advice was received from the Department of the Attorney General that records of an original decision of the Life and Indefinite Term Board (a decision subsequently overturned) were requested to be destroyed. The Department is inquiring into the matter and will report to the Commission when further information is available.

A media report from April 2013 stated that a safe containing backup tapes used by the Department of Premier and Cabinet had been accidentally removed from office premises during a refurbishment and the tapes destroyed along with the safe. The Department has provided relevant advice regarding the incident which is to be considered by the Commission.

---

## **Section 61 – establish principles and standards**

In 2012-13 the SRO produced a new omnibus General Disposal Authority for Government Records. An exposure draft of the Authority was released for agency comment in June 2013.

## **Section 62 – establish committees**

The State Records Advisory Committee was established in December 2001 in accordance with sections 62(1) and (2) of the Act.

The current membership structure of the Committee was approved by the Commission in December 2008. The Committee met on two occasions during 2012-13.

No new Committees were established during this period.

## **Section 64(1) and (3) – submit annual report to Parliament by 1 November each year**

The Commission's 11th Annual Report (2011-12) was submitted to both Houses of the State Parliament on 31 October 2012. Copies of the Report were tabled in both the Legislative Assembly and the Legislative Council on 6 November 2012.

## **Section 64(2) and (3) – submit reports to Parliament re contraventions of the Act (discretionary)**

No special reports were submitted to Parliament in 2012-13.

---

**Section 64(4) – give the Minister a copy of any report submitted to Parliament**

A copy of the Commission's Annual Report (2011-12) was given to the Minister for Culture and the Arts on 31 October 2012.

## **Part 8 Division 2**

**Section 65(4) – include in annual report any policy directions given by the Minister**

The Minister for Culture and the Arts issued no general policy directions to the Commission in 2012–13.

**Section 66(4) – comply with requests by Minister for information and make facilities available**

During 2012–13 neither the Commission nor the State Archivist received any specific request as per this section of the Act.

## **Part 8 Division 3**

**Section 68 – Commission may request a Government organisation to report about its record keeping or an aspect of its record keeping**

In previous Annual Reports the Commission has referred to ongoing issues with the Department of Health's Record Keeping Plan. In August 2012 the Commission noted the RKP review report and deferred the reporting requirement pending the submission of an amended RKP by the Department of Health.

# Compliance with SRC Standard 2, Principle 6

---

The SRO manages the Commission's records, and therefore its compliance with SRC Standard 2 Principle 6 is linked to the compliance of the SRO.

The following action was taken this year to ensure the Commission complies with SRC Standard 2 Principle 6:

- In accordance with section 28 (5) of the Act, the Commission submitted a report on the review of its RKP to the Minister in October 2012. The review indicated the Commission's RKP and R&D required amendment. The amended RKP, which incorporates the amended R&D was subsequently approved by the Minister on 23 June 2013.
- The Commissioners have continued to develop their knowledge of current record keeping issues through their interaction with Government clients.

# Spreading the message



*State Records Commissioners Justine McDermott, Sven Bluemmel, Chris Field and Colin Murphy (Chair) in Karratha (photograph courtesy of the State Records Office)*

The Commissioners attended and/or participated in the following events and activities during 2012–13, with the aim of enhancing public sector and community awareness of the work of the Commission and the benefits of the Act.

DATE	COMMISSIONER
10 & 11 September 2012	Commissioner McDermott facilitated a two day planning workshop for SRO staff
12 November 2012	All Commissioners attended the Geoffrey Bolton Lecture, delivered by the Hon. Fred Chaney at Government House
May/June 2013	Commissioner McDermott participated in the judging of the 2012 Margaret Medcalf Award
19 June 2013	Commissioner Murphy presented the 2012 Margaret Medcalf Award. Commissioners McDermott and Bluemmel also attended this event.

# How to contact the State Records Commission

---

**The State Records Commission operates through the State Records Office of Western Australia.**

**All enquiries to the Commission, whether in person, by telephone, fax, email, or in writing, should be directed through the State Records Office.**

## **State Records Commission of Western Australia**

C/- State Records Office  
of Western Australia  
Ground Floor  
Alexander Library Building  
James St (west entrance)  
Perth Cultural Centre  
Perth WA 6000

Phone: (08) 9427 3636

Fax: (08) 9427 3638

Email: [sro@sro.wa.gov.au](mailto:sro@sro.wa.gov.au)

Website: [www.sro.wa.gov.au](http://www.sro.wa.gov.au)

## **State Records Commission Chairperson**

Mr Colin Murphy, Auditor General

## **State Archivist and Executive Director State Records (and Executive Officer to the State Records Commission)**

Ms Cathrin Cassarchis



# Appendix 1

## Record Keeping Plans Required and Received for Review

2012 – 2013

AGENCY NAME	NEXT REVIEW DATE
Art Gallery of Western Australia	31 May 2018
Broome Port Authority	25 Jun 2018
Chemistry Centre Western Australia	25 Jun 2018
City of Albany	18 Mar 2018
City of Kalgoorlie-Boulder	18 Mar 2018
City of Rockingham	31 May 2018
City of Wanneroo	31 May 2018
Department of Finance	2 Jul 2017
Equal Opportunity Commission	31 May 2018
Forest Products Commission	31 May 2018
Independent Market Operator	25 Jun 2018
Legislative Assembly	28 Feb 2018
Legislative Council	16 Oct 2017
Mid-West Regional Council	8 Oct 2017
Parliamentary Services Department	18 Jan 2018
Pathwest Laboratory Medicine Western Australia	25 Jun 2018
Shire of Corrigin	6 Aug 2017
Shire of Cranbrook	25 Jun 2018
Shire of Cuballing	18 Mar 2018
Shire of Demark	25 Jun 2018
Shire of Derby / West Kimberley	18 Mar 2018
Shire of East Pilbara	18 Mar 2018
Shire of Gnowangerup	5 Dec 2017
Shire of Goomalling	25 Jun 2018
Shire of Koorda	31 May 2018
Shire of Kulin	5 Dec 2017
Shire of Leonora	8 Oct 2017
Shire of Meekatharra	31 May 2018

AGENCY NAME	NEXT REVIEW DATE
Shire of Moora	5 Dec 2017
Shire of Mount Marshall	31 May 2018
Shire of Narrogin	25 Jun 2018
Shire of Northam	25 Jun 2018
Shire of Northampton	31 May 2018
Shire of Plantagenet	31 May 2018
Shire of Quairading	25 Jun 2018
Shire of Sandstone	18 Mar 2018
Shire of Shark Bay	31 May 2018
Shire of Trayning	31 May 2018
Shire of Wagin	8 Oct 2017
State Records Commission	4 Feb 2018
State Records Office of Western Australia	5 Dec 2017
Tourism Western Australia	25 Jun 2018
Town of Bassendean	25 Jun 2018
Town of Cambridge	31 May 2018

# Appendix 2

## Record Keeping Plans Required for Review

2013 – 2014

AGENCY NAME	REVIEW DATE
Albany Cemetery Board	3 Jun 2014
Building and Construction Industry Training Fund	5 Dec 2013
Bunbury Cemetery Board	2 Oct 2013
Construction Industry Long Service Leave Payments Board	5 Dec 2013
Corruption and Crime Commission	10 Oct 2013
Curtin University of Technology	10 Oct 2013
Department of Agriculture and Food	22 Jun 2014
Department of Housing	22 Jun 2014
Department of Parks and Wildlife	1 Jan 2014
Doodenaning Cemetery Board	3 Jun 2014
Dwellingup Cemetery Board	22 Apr 2014
Eastern Metropolitan Regional Council	5 Dec 2013
Fremantle Port Authority	23 Mar 2014
Gascoyne Development Commission	10 Oct 2013
Geraldton Cemetery Board	9 Mar 2014
Goldfields-Esperance Development Commission	5 Dec 2013
Kalgoorlie-Boulder Cemetery Board	3 Jun 2014
Kimberley Development Commission	5 Dec 2013
Law Reform Commission of Western Australia	22 Apr 2014
Minerals and Energy Research Institute of Western Australia	23 Mar 2014
Office of Information Commission	23 Mar 2014
Office of the Auditor General	10 Oct 2013
Salaries and Allowances Tribunal	10 Oct 2013

AGENCY NAME	REVIEW DATE
Shire of Augusta-Margaret River	10 Oct 2013
Shire of Beverley	10 Oct 2013
Shire of Brookton	23 Mar 2014
Shire of Broome	5 Dec 2013
Shire of Chittering	22 Jun 2014
Shire of Cunderdin	23 Mar 2014
Shire of Dalwallinu	22 Jun 2014
Shire of Dardanup	22 Jun 2014
Shire of Dowerin	23 Mar 2013
Shire of Halls Creek	5 Dec 2013
Shire of Harvey	5 Dec 2013
Shire of Kondinin	10 Oct 2013
Shire of Mukinbudin	22 Jun 2014
Shire of Mundaring	22 Jun 2014
Shire of Murchison	5 Dec 2013
Shire of Murray	23 Mar 2014
Shire of Pingelly	22 Apr 2014
Shire of Serpentine Jarrahdale	3 Jun 2014
Shire of Tammin	22 Jun 2014
Shire of Toodyay	10 Oct 2013
Shire of Wiluna	10 Oct 2013
Shire of Wyalkatchem	10 Oct 2013
Shire of Yalgoo	22 Jun 2014
South Caroling Cemetery Board	22 Apr 2014
Town of East Fremantle	5 Dec 2013
Town of Port Hedland	5 Dec 2013
Town of Vincent	23 Mar 2014
Wheatbelt Development Commission	10 Oct 2013
Yarra Yarra Catchment Regional Council	10 Oct 2013

# Appendix 3

## Record Keeping Plans Required for Submission by New Organisations

On or Before 30 June 2013

---

ORGANISATION NAME	DUE DATE	SUBMISSION DATE
School Curriculum and Standards Authority	1 September 2012	31 August 2012
Goldfields Institute of Technology	1 January 2013	13 September 2012
Department of Fire and Emergency Services	1 May 2013	27 March 2013
Fire and Emergency Services Ministerial Body	1 May 2013	27 March 2013
Teacher Registration Board	7 June 2013	6 June 2013
Peel Health Campus Inquiry (Stokes Inquiry)	12 June 2013	17 April 2013

# Acronyms and terms used in this report

---

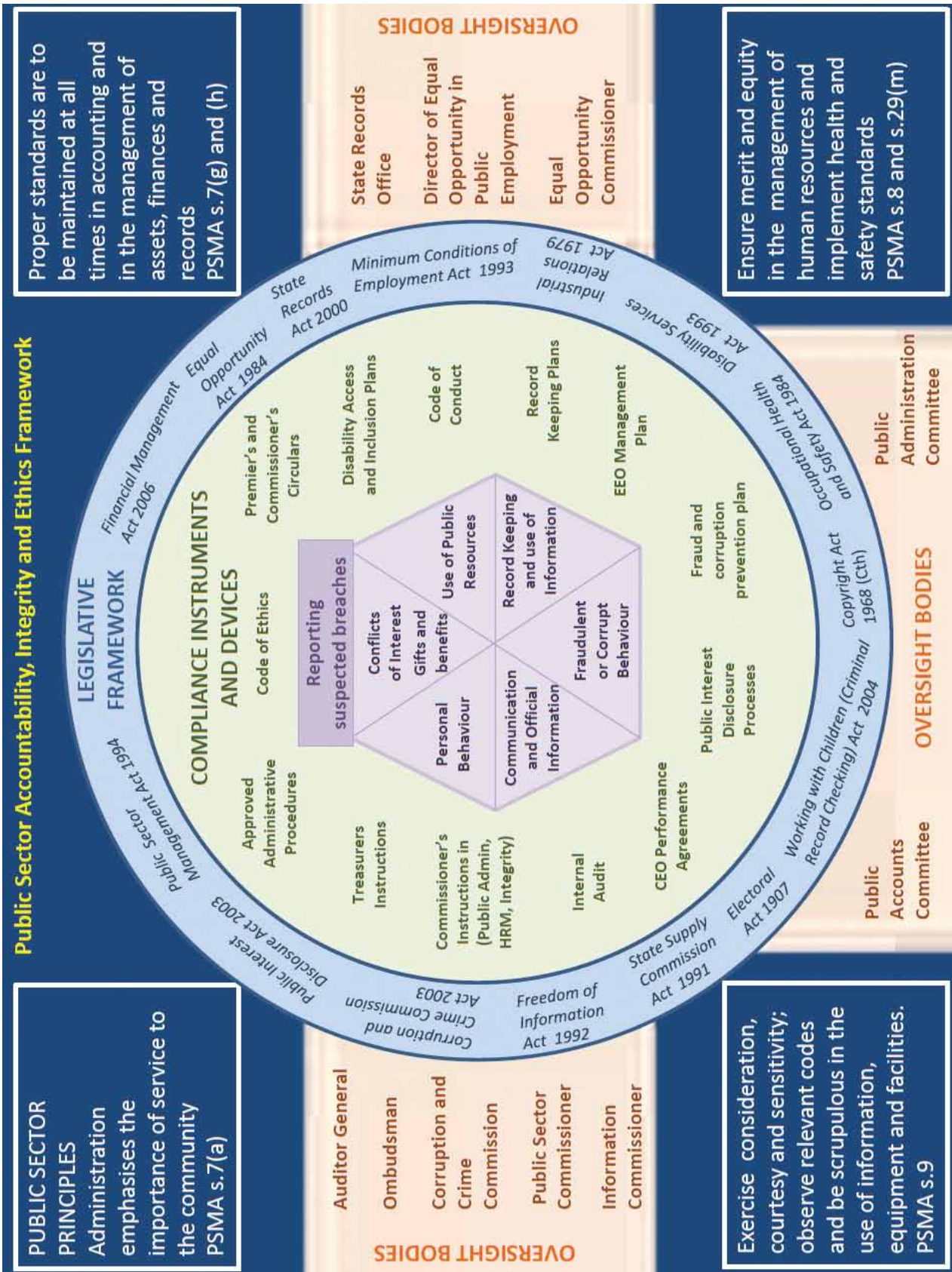
The Act	The State Records Act 2000
Committee	State Records Advisory Committee
Commission	State Records Commission

---

Disposal Authority	A term used to incorporate GDAs, SDAs and R&Ds for the legal disposal of Government records
GDA	General Disposal Authority for the legal disposal of records common across Government (developed by the SRO)
GDAGR	General Disposal Authority for Government Records
ORDA	Online Retention and Disposal Application
PPSA	Personal Property Securities Act 2009
R&D	Retention and Disposal Schedule for the legal disposal of the functional records of Government organisations (developed by individual agencies with SRO advice and assistance)
RKP	Record Keeping Plan
SDA	Sector Disposal Authority for the legal disposal of functional records of like sectors of Government (developed by the SRO)
SRO	State Records Office

---

# Public sector accountability framework diagram



Reproduced with permission from the Public Sector Commission

---

**State Records Commission  
of Western Australia**

C/- State Records Office  
of Western Australia  
Ground Floor  
Alexander Library Building  
James St (west entrance)  
Perth Cultural Centre  
Perth WA 6000

**Phone: (08) 9427 3636**

Fax: (08) 9427 3638

Email: [sro@sro.wa.gov.au](mailto:sro@sro.wa.gov.au)

Website: [www.sro.wa.gov.au](http://www.sro.wa.gov.au)